



DEPARTMENT OF HEALTH & HUMAN SERVICES

National Institutes of Health
National Institute of Mental Health
6001 Executive Boulevard
Bethesda, Maryland 20892

April 5, 2002

Dear Sir/Madam:

The National Institute of Mental Health (NIMH) invites you to submit a proposal in accordance with the requirements and instructions of Request for Proposals (RFP) No. NIMH-02-SS-0003 entitled "NIMH Information Support Services." Proposals are being solicited under a 100% Small Business Set Aside.

It is expected that one (1) cost-reimbursement plus award fee, performance based, contract will be awarded on or before September 1, 2002 with a base period of three (3) years, and two (2) additional option periods of one (1) year each.

FOR PROPOSAL PURPOSES, THE OFFEROR MUST PROVIDE A TECHNICAL AND BUSINESS PROPOSAL (BUDGET) FOR THE BASE PERIOD AND THE OPTION PERIODS (TOTAL FIVE (5) YEARS). FURTHER, THERE ARE FOUR (4) OPTION ITEMS (See SOW Attachment 2) WHICH WILL ALSO REQUIRE THE DEVELOPMENT OF INDIVIDUAL BUDGETS AND WHICH SHOULD BE INCLUDED IN THE BUSINESS PROPOSAL.

Special attention should be directed to the technical proposal instructions and business proposal instructions contained in [Attachment 4](#).

The documents included with this electronic RFP package are as follows:

- I. Streamlined RFP:
 - A. Statement of Work (SOW) and Performance Standards Table ([Attachment 1](#))
 - B. Deliverables and Reporting Requirements ([Attachment 2](#))
 - C. Evaluation Factors for Award ([Attachment 3](#))
- II. Standard RFP Instructions and Conditions and Notice to Offerors ([Attachment 4](#))
- III. Applicable RFP References/Forms/Web links ([Attachment 5](#))
- IV. Proposal Intent Response Sheet ([Attachment 6](#))

The attachments listed above represent all the necessary information required for the submission of a proposal for this acquisition.

An official authorized to contractually bind your organization must sign your proposal. One (1) original and ten (10) copies of your technical proposal, and one (1) original and five (5) copies of your Business/Cost Proposal, must be received by the Contracting Officer NO LATER THAN **4:00 p.m., local prevailing time, on Thursday, May 20, 2002**, at the following address:

If hand delivered or using overnight delivery

service:

If using U.S. Postal Service:

Attn: Suzanne Stinson
Contracting Officer
National Institute of Mental Health
Contract Management Branch
6001 Executive Blvd., Rm. 6107 (MSC 9603)
Rockville, MD **20852-9603**

Attn: Suzanne Stinson
Contracting Officer
National Institute of Mental Health
Contract Management Branch
6001 Executive Blvd., Rm. 6107 (MSC 9603)
Bethesda, MD **20892-9603**

Your attention is further directed to the “Proposal Intent Response Sheet” contained in **Attachment 6**. Please complete this form and return it to this office or notify me at the following Internet address: ss704b@nih.gov on or before May 10, 2002.

IF THERE ARE ANY AMENDMENTS TO THIS SOLICITATION, THEY WILL BE AVAILABLE ON THE INTERNET at FedBizOpps at <http://www.fedbizopps.gov> and/or the NIMH HOME PAGE AT: <http://www.nimh.nih.gov/grants/indexcon.htm>. It is the offerors responsibility to monitor these websites for possible solicitation amendments since the NIMH does not maintain a bidders list.

This RFP does not commit the Government to pay any costs for the preparation and submission of a proposal. It is also brought to your attention that the Contracting Officer (CO) is the only individual who can legally commit the Government to expenditure of public funds in connection with this proposed acquisition.

Any discussion of this RFP with any individual(s) outside the Contracts Management Branch, NIMH, may result in disqualification of the offeror and rejection of any proposal submitted.

Questions concerning any areas of uncertainty, which in your opinion require clarification or correction on the part of NIMH, must be furnished in writing to Suzanne Stinson, and marked “Offeror’s Questions, RFP No. NIMH-02-SS-0003”. You are requested to submit (preferably via Ae-mail) your questions to Suzanne Stinson (ss704b@nih.gov). It would be appreciated if you questions were received in the contracting office on or before **May 1, 2002**, to allow a reply to reach all prospective offerors before submission of their proposals.

Sincerely,

/s/

Suzanne Stinson
Contracting Officer
Contracts Management Branch, ORM
National Institute of Mental Health, NIH

Attachments: 1-6

ATTACHMENT 1

STATEMENT OF WORK

NIMH INFORMATION SUPPORT SERVICES

Background Information

Misunderstood, often feared, and still stigmatized, mental disorders affect 22 percent of the population, ages 18 and older, about 1 in 5 adults in any given year. The most severe illnesses, including schizophrenia, major depression, manic-depressive illness, panic disorder, and obsessive-compulsive disorder cause inestimable suffering to these individuals and their families. But these severely ill individuals represent only a part of a broader problem from which few families are immune. Brain, behavioral and mental disorders can and do occur from childhood to old age, irrespective of gender, race, or financial circumstance. While no one can tally the human impact, the pain translates readily into economic terms: mental disorders cost our Nation billions of dollars each year for treatment and for indirect costs that reflect lost productivity, social service and disability payments, and premature mortality.

The National Institute of Mental Health (NIMH) is the Federal agency responsible for conducting and supporting research on the brain and mental disorders. This research brings hope and effective treatments to the millions of people who suffer from mental disorders, which also benefit their families and friends. Thus, communicating research results to those who need them and to the professionals who provide care is a wise investment.

The Information Resources and Inquiries Branch (IRIB), Office of Communications and Public Liaison (OCPL), NIMH, is responsible for responding to inquiries about mental health, mental illnesses, research related to mental disorders, and Institute programs, policies and activities. These inquiries are about evenly divided among mental health professionals, researchers, other health care providers and various publics. Included are patients, family members, health and mental health clinicians, mental health facility administrators, librarians, students and educators, judicial and law enforcement personnel, research scientists, administrators, and Government officials. IRIB also provides fulfillment and support services for Institute clinical studies and education programs—the Teen and Adolescent Depression Study (TADS) and the Constituency Outreach and Education Program (COEP)—and distributes Institute publications and other materials in response to incoming requests. In addition, the IRIB prepares informational and educational materials for patients and the general public, maintains Institute mailing keys, develops and maintains the Institute's Web site on the Internet, and conducts a program of electronic information dissemination.

The volume of inquiries reaching NIMH, and the number of NIMH publications distributed, reflect the American public's growing interest in mental health and mental illnesses, its increasing knowledge of the role of science in improving the treatment of mental disorders, the amount of media attention given to mental health and mental illnesses, and the success of NIMH efforts to disseminate information through the media and other intermediaries. IRIB

has become a much more dynamic office in recent years, thus it's Contractors have to be capable of flexibility and rapid response to changing needs. The Contractor to be selected for this procurement must have a good understanding of contemporary mental health issues (including stigma), must communicate interest in and commitment to providing the planning, strategizing, and support necessary to guide each aspect of the inquiries response and information dissemination program outlined in this RFC, and must be able to adjust these strategies on short notice. To carry out its functions, the IRIB requires the assistance of a Contractor to provide the services outlined below.

Objectives

The NIMH plans to award a contract for an Information Center (IC) to provide services needed to handle a complete inquiries response and information dissemination program. The Contractor shall provide the necessary services, facilities, and qualified personnel to develop and implement such a program, including the systems necessary to screen, track, monitor, and respond appropriately to inquiries received by the NIMH.

The Contractor with consultation and assistance from IRIB will ensure that vitally needed and appropriate information on the diagnosis, prevention, treatment, and underlying causes of mental disorders is disseminated in a cost-effective manner, to members of the public and to the mental health and health care professionals responsible for their care.

General Requirements

- Independently and not as an Agent of the Government, the Contractor shall furnish all necessary labor, materials, supplies, equipment, and services (except as otherwise specified herein) and perform the work described below.
- The Contractor is solely responsible for the technique, as described in the work plan, which will be used to fulfill the terms of this Statement of Work. The Contractor shall remain solely responsible for control and supervision of employees while performing under this contract.
- All work under the contract shall be monitored by the NIMH Project Officer (PO) .

Specific Requirements

The Contractor shall:

- Establish a headquarters site, and processing facility in the greater Washington, D.C area within reasonable commuting distance (during normal business hours, which include the core standard operating hours of 9:00 A.M. to 3:00 P.M.) of the IRIB/OCPL offices in Rockville, Maryland.
- Provide and maintain facilities for all operations to be carried out under this contract, including a conference room for meetings between the PO, other government officials, and the IC staff (6-10 people).

- Provide compatible computer software (including MS Word, Access, Excel, PowerPoint); and hardware (IBM-compatible personal computers) compatible with those used in the IRIB/OCPL. Install an e-mail system compatible with the NIMH e-mail system MS Exchange. Also install a telephone system that will automatically forward calls reaching the NIMH Public Inquiries number (301) 443-4513 and the toll-free number 1-877-964-3258 to the IC facility.
- Set up an e-mail box and system for the receipt of and response to e-mails to the NIMH e-mail address nimhinfo@nih.gov.
- Ensure that there is no disruption to any IRIB services continued under this proposed contract, particularly the responses to inquiries. An eight (8)-week transition period (from the effective date of contract award) is anticipated in which the Contractor shall develop, transfer, and begin start-up operations. Among details to be addressed and considered are installation of equipment; design and installation of an Inquiry and Inventory Database Management System (IDMS), staff training and orientation; transfer of reference materials, NIMH publication archives, shelf supplies, inventory of publications and other NIMH materials used to respond to inquiries, all electronic files such as NIMH publications database, mailing keys, mental health resources database, etc.
- Maintain and manage inventory of NIMH publications and other materials. Provide a monthly inventory of printed materials on hand at IC location and warehouse, and report any problems associated with the distribution of large quantities of printed materials.
- Process approximately 100,000 (estimated to increase 10% each year of contract) requests per year about NIMH programs and activities, mental illnesses or mental health. Requests are received by mail (7,500), e-mail (20,000), order forms-paper (2,000), Web orders (10,000), toll free # (30,000), fax and FAX4U (2,000) and, telephone (25,000). Processing inquiries from receipt of request through response by mail, telephone, e-mail, or fax.
- Provide support for the three toll-free 800 telephone numbers for the NIMH education programs (Depression 1-800-421-4211; Anxiety Disorders 1-888-826-9438, and Panic Disorder 1-800-647-2642). Approximately 30,000 requests for NIMH publications are received annually through these telephone numbers with an estimated increase of 10 percent per year. The toll-free telephone service is currently being handled by the U.S. Census Bureau's National Processing Center (NPC) in Tucson, Arizona. The files for the mailing labels, and packets are electronically transmitted from the NPC to the Contractor and/or DC ARC each day (7 days a week).
- Be in compliance with the Plain Language in Government Writing Initiative requiring all new documents written for the public to conform to plain language guidelines by January 2002. This includes correspondence, e-mails, manuals, reports, Web documents, etc. Guidelines for this initiative can be accessed at: <http://www1.od.nih.gov/execsec/guidelines.htm>
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- Contact between the PO and the Contractor will at a minimum include frequent, perhaps daily, telephone contacts, and will include meetings as necessary.

Planning and Management

The Contractor shall:

- Develop and provide an annual Work Plan for carrying out the tasks of this contract, subject to final approval of the PO. The initial Work Plan should be largely based on the proposal and focus on development and operational start-up functions and procedures of specified tasks first, with a timetable and milestones for successive contract tasks.
- Include tasks to be accomplished, methods for achieving these tasks, and allocation of specific personnel, staff hours, and costs per task and per subtask. The plan should also include provisions for the development and periodic update of a Procedures Manual which outline quality control procedures, cost-effective strategies for carrying out proposed tasks, including cost recovery, and detailed instructions for each task to ensure the highest quality of products and services. This Manual is also intended to provide a plan for thorough orientation and training of all Contractor staff.
- Within one (1) week after contract award, the Contractor will meet with the PO to discuss the Work Plan. Comments from the PO are to be incorporated into the Plan. The final version of the initial Work Plan is due three (3) weeks after contract award. Thereafter, updates of the Plan are due annually with the first update due on the anniversary of the award. Progress on meeting the objectives of the Plan will be discussed in each monthly progress report.
- A draft of the Procedures Manual is due within three (3) months of contract award with the final manual due six (6) months after contract award. The Procedures Manual should be formatted to allow for continuous updating of referral and standard language applications and policies. All updates need approval by the PO.
- It is anticipated the Contractor will be in contact with the PO daily via the telephone, fax, or electronic mail (e-mail) and will have regular weekly meetings (to be held at the NIMH or Contractor facilities) for the first three (3) months of the contract; thereafter, meetings shall occur biweekly or monthly as determined appropriate by the PO.

TASKS ONE (1) THROUGH THIRTEEN (13)

The following tasks contain numerous details which identify practices or methods successfully utilized in the past to carry out similar work. Although these practices have been identified for the offeror, the Government does not endorse these practices, in that the risk for successful performance remains with the Contractor. It is up to the Offeror to fully describe in their technical proposal the practices/methods which they propose to employ to ensure successful achievement of the contract requirements.

TASK 1: Inquiries and Inventory Database Management System (IDMS)

Programming and Systems Management

In order to carry out the tasks of this contract, the Contractor shall develop, test, implement, enhance and maintain integrated web-based, multi-user, database systems with user friendly interfaces for a) inquiries and inventory management; b) mental health resources/referral; c) e-mail response and records retention system, and d) a mailing key/label system. The inquiries tracking and inventory management system must be able to provide a publications online ordering system for linkage from the NIMH Web site and a database of standard language paragraphs/letters. The online ordering system would provide for automatic integration into the inquiries response system. In addition, smart packet handling is necessary for the requests coming in from the toll free numbers. The mailing key system must be able to establish new mailing lists, provide lists and/or pressure sensitive labels (electronic or hard copy) as needed. The database must be capable of sorting and merging by identifier codes, last name, organization, state, zip codes, etc., and be able to bar code labels. Systems a & b must be able to be utilized in tandem, system c might be integrated as well. All systems must be assessable, online by Contractor and NIMH staff. Contractor staff must be expert in migrating data from legacy systems to current and/or new system(s).

The file server is to be purchased and maintained by the Contractor, with NIMH as owner. The operating system must be current with service packs, hot fixes and the application software current with NIMH/NIH standards. At the end of the contract, the file server will be transferred to the NIMH or another Contractor as deemed appropriate.

The above system(s) must have the capability to incorporate the current needs of the IRIB, while at the same time being flexible enough to provide for expanded storage and data retrieval, track inquiries and orders, monitor and adjust inventory of approximately 300 items at multiple sites, and generate labels and packing slips for mailing of NIMH materials.

The Contractor must address continuing life cycle activities for continued development, enhancements, modifications, and maintenance in accordance with government requirements. IDMS expansions and modifications may include possible interface or integration with other systems.

Provide hardware, software, and networking architecture for easy access to archival data for report purposes, with separation from current records, to ensure real time processing and response time.

All systems must be capable of providing analytical data in table, graph, or chart formation, and graphical reports, meeting NIMH application standards (currently Crystal Reports, PowerPoint).

Access by authorized IRIB staff is needed to view reports, screens, and other information from multiple locations. The equipment and software platform, must be compatible with NIMH operating systems which are LAN based, IBM compatible PC workstations with Windows operating systems dating from Windows 98 with applicable service packs to most current version of Windows, MS Office Suite 2000 or better, multi-user systems. The Institute's e-mail system is MS Exchange. Source code, documentation, training and orientation for IRIB staff, will be provided by the Contractor if deemed necessary by the PO.

All systems to be utilized in this requirement must be in compliance with Privacy Act regulations and Section 508 of the Rehabilitation Act of 1973 as amended 1998.

Security

Coordinate with NIMH Information Systems Security Officer and the NIMH network Contractor to ensure that NIMH security requirements are satisfied in concert with overall data and LAN security measures.

Maintain the security of the systems, including prevention of unauthorized access to and alteration of the data. Provide backup (currently Cheyenne Arc Server, version 6.1) of the entire IDMS and any other systems developed in support of this contract to enable disaster recovery in case of catastrophic loss of data through hardware malfunctions or by external causes (e.g., fire, flood). All medium used for disaster recovery (i.e., tapes, CDs) are the property of the NIMH.

Option Item One (1):

If Contractor already has such systems as described above and proposes that these be utilized/adapted to meet NIMH requirements, Contractor must provide detailed information of structure and capability for consideration by NIMH. All data contained in any of the above databases, and source code for any new systems developed, are and will be the property of the NIMH. A separate proposal and cost estimate is to be provided.

The IDMS allows integration of the following:

a) Inquiry Processing/Inventory Tracking and Management component to provide an electronic record of all written, telephone, 800 toll-free, e-mail, Web, and fax requests received and responses sent. An online ordering system with linkage from the NIMH Web site is required as well as a computerized multi-site inventory and tracking system.

b) Information Resources and Referral Database which requires familiarity with information sources on the Internet and in the public domain that address mental health and mental disorders, NIMH research interests, and relevant medical research sites.

c) Electronic Response and Records Retention with the ability to respond to e-mail and Web inquiries, to track orders and maintain data. Contractor will provide the PO all e-mail requests with response on a CD annually for record retention purposes.

d) Mailing Keys Management component to incorporate existing lists, establish new mailing lists, and provide lists and/or pressure sensitive labels (electronic or hard copy) as needed. System must have the capability to sort and merge by identifier codes, last name, organization, state, zip codes, etc., and be able to bar code labels.

Subtask 1a) The Inquiry Processing/Inventory Tracking and Management component of the IDMS is intended to:

Allow the general public to place orders for NIMH publications on-line over the Web with security measures that prevent a user from seeing what someone else ordered immediately beforehand,

keeping in mind that many users access NIMH's Web site through public Internet computers in libraries, etc. This is a fully automated system. No manual data entry is needed.

Support the need of specific constituents and/or groups placing orders, such as the NIMH Outreach Partners, on a continual basis, and provide a password-protected Web order form that can be used to expedite and track these orders.

Ensure that all incoming requests, for NIMH publications and information, received by phone, fax, regular mail, e-mail, Web, walk-ins and NIMH staff are automatically entered by Contractor staff into the inquiry processing portion of the database and are assigned a computer-generated number. All e-mail and Web requests receive an automatic return receipt acknowledgment via e-mail. Maintain inquiry records and keep track of 100,000" inquiries received annually.

Allow Contractor staff taking phone orders to select titles and sort by various methods: alphabetically by publication title; numerically by publication number; by subject/keyword; by most frequently requested publication; and search on any word in the title or publication record in order to locate a publication.

Be able to copy the name, address, organizational affiliation, and employment setting of a previously stored inquiry record into a new record and to flag individual records or groups of records for printing and reprinting as needed. These batches and groups may or may not be sequentially numbered, so if a batch print fails, the system must have sufficient flexibility and power to allow the Contractor to efficiently and easily request the reprinting of individual records or groups of records.

Maintain and track computerized inventory balances located at multiple sites (e.g., IC, NIMH offices, warehouse facility) for approximately 300 active publications, fact sheets, research based information packets, reports, posters, and other materials. System is to flag low stocks of individual NIMH publications and other NIMH material. Low point for individual titles may vary.

Allow the Contractor to customize the printing destination (on, off, or remote location) of each batch print code to adapt to changing needs and variable packing slip/form supply levels. On demand auditing of records and edits to allow users to determine:

- The last user who ran a batch print job or made changes to a record.
- The date or dates on which records printed in the past.
- Reports will display an index of the batch and the record numbers/dates which are awaiting printing, have printed already, or have been sent to on-line storage without printing.

Receive, track, and maintain data on all publications and other materials distributed by the Information Center (IC) and store extensive publication archival information used for reporting purposes throughout the year.

Generate a wide number of customized analytical reports on demand.

Subtask 1b) The Information Resources and Referral Component is intended to:

Be an online reference tool accessible by Contractor and IRIB staff for use in responding to inquiries. This system would include a database of "boilerplate" paragraphs, letters, messages, and remarks codes (with explanatory text for each code), that can be automatically or manually inserted on a customer's packing slip, e-mail or letter response. All revisions, approved by the PO, will be

incorporated into the Procedures Manual. All entries are to be reviewed on a semiannual basis, beginning six (6) months after contract award.

Also, detailed records of information and referral resources that address mental health and mental disorders, related health information, and relevant NIMH research interests. Database should include the names, addresses, telephone, and fax numbers, e-mail and internet addresses, description of organization, materials available, etc. The file should also contain information on other useful resources such as reports documents, medications, programs, Web sites, etc. All must be credible resources with an emphasis on government funded information and/or science based evidence.

Contain up-to-date resources and reference materials from the media and professional journals that can be used as sources of information for responding to inquiries. References may include medical, psychology, psychiatric, basic science and neuroscience textbooks, directories, and professional journals, etc. Contractor will maintain a separate mini library of core references utilized routinely in hard copy for use by information specialists. Requests for free textbooks and subscriptions are encouraged (funds for purchases are to be approved by the PO).

Subtask 1c) The Electronic Response and Records Retention component is intended to: Keep track of inventory and generate label/packing notices for fulfillment and mailing. The Contractor's Procedures Manual shall include data entry and all other procedures required by the system, provide a hard copy of standard paragraphs and letters, and describe the reports it can generate. It is intended for the course of this contract that the IRIB and the Contractor access and utilize the same automated system in responding to inquiries.

Provide an electronic record of all written, telephone, 800 toll-free, e-mail, Web, and fax requests. Once all requests are entered into the system and assigned a computer-generated number, the IDMS automatically adjusts the inventory, tracks the inventory by various sort methods (by event such as press conferences, Surgeon General's announcement, newspaper articles, PSAs, etc.), and generates label/packing notices for fulfillment and mailing.

"Smart packet handling" or other similar system is needed for orders for publications that are grouped together in predetermined packets by subject (such as depression or anxiety disorders). When orders are placed for the packet, the inventory shall automatically subtract all of the individual publications, which comprise the packet from the respective inventory balances, and automatically add each individual publication to the order. Periodic changes in the publications that comprise each packet will be necessary (when new publications are added and old ones deleted).

Subtask 1d) Mailing Keys Component/Maintenance

Maintain and update the NIMH's existing computerized mailing list, currently comprised of 75 unique keys/lists with approximately 15,000 names, and establish new mailing lists as needed. Hard copies of the lists and/or pressure-sensitive labels are for the exclusive use of the NIMH and must be provided to the PO within 24 hours of request. Lists and/or labels are to be provided by various sorts and/or merge methods by identifier codes, zip code or key, alphabetically by person's last name, or by organization, etc. A feasibility report for the implementation of bar coded labels with information on possible cost-savings to be realized, and a plan for implementation is to be provided at the beginning of the second year of the contract.

Mailing lists are updated continually throughout the year, as Contractor/NIMH is made aware of address changes or requests to be added or deleted from the lists.

Verify addressee information accuracy every two (2) years beginning within the first six (6) months of the contract award. Develop a short form to be sent to all mailing list recipients upon approval of the PO. Requests for changes of address or USPS notification of address change shall be made within one (1) week of request.

Mailing key system must be able to provide at a list of keys by code with key title and number of addresses and date of last update. A usage report is also required.

TASK 2. Responding to Public Inquiries

The Contractor shall begin to take and fill publications orders within 30 days after contract award and respond to all inquiries about mental disorders within 45 days after contract award. Exceptions include letters and calls from members of Congress, from the media, and donations to NIMH, which are to be referred immediately to the PO or other designated NIMH staff. Inquiries are received by telephone, letter, e-mail, and fax.

Subtask 2a) Written Inquiries

Open all mail and stamp the requests to record the date of arrival within 1 (one) day of receipt. All requests indicating that the inquirer is in a state of crisis (e.g., considering suicide) are identified immediately with a draft response to the PO or his or her designee within one (1) hour of receipt during regular business hours or by 9:30 am on the next business day for requests received after hours, on weekends, or holidays. Requests bearing deadlines (e.g., student assignments, health and wellness fairs, workshops, meetings, and conferences, and those containing checks or money) are identified for expedited response and answered within two (2) days of receipt or sooner if required by the PO.

Determine if a request is to be handled by NIMH, i.e., if the subject is scientific or technical, of a sensitive or political nature, or concerns policy issues specific to the NIMH or NIH. Requests for non-NIMH publications or research shall be forwarded upon receipt to the appropriate NIH Institute or Office, Federal or non-Federal agency for a response.

Provide a “standard” or “custom” response to all written inquiries. Standard responses can be answered with standard, printed information, or by sending one or more publications. Responses may include several different types of enclosures, such as a form letter, a list of referrals or journal citations, an enclosure card with standardized responses, and/or a packing slip. Standard responses are sent within three (3) working days of receipt.

“Custom responses” require a tailored reply when standardized responses are not adequate. This requires research and a letter that address each point of the inquiry. Letters that are highly sensitive or political in nature are forwarded to the PO for guidance. Consultation with NIMH staff, grantees, and/or professionals knowledgeable in the subject areas may be needed. Permission from the PO to contact NIMH staff or others as indicated above is required. Custom letters are to be approved by the PO, in draft and in final form, as well as accompanying referrals, and/or publications. Drafts of

letter are to be sent to the PO for approval within three (3) working days of receipt or sooner. Final versions are mailed within one (1) day of PO approval.

Maintain a file of all custom (letter) responses with a copy of the incoming for three (3) years, at which time the files will be transferred to the IRIB for disposition. All other paper requests (order forms, fax orders, etc.) are to be kept for a period of four (4) months and then destroyed.

Estimated Written Inquiries: Standard – 10,000 per year Custom - 2,400 per year

Subtask 2b) Telephone Inquiries

Interactive equipment to be in place within 2 weeks of contract award. Provide and use interactive telephone equipment with an automated voice mail system for calls to 301-443-4513 and toll-free 1-877-964-3258 (1-877-9MHEALTH) telephone lines that is user-friendly and efficient. Callers should have a variety of choices (leave a message, place an order, etc.). When call volume is greater than can be handled immediately with live operators, any callers placed in queue are to hear relevant mental health messages to be developed by Contractor in concert with the PO.

Develop, in English and in Spanish, all messages and scripts for telephone services, including a medical disclaimer. All messages and scripts are to be approved by the PO within 1 week of contract award and be in place within two (2) weeks of contract award.

Live operator/information specialist(s) must be available during NIMH normal business hours to speak to callers in English and in Spanish and to respond to written and e-mail inquiries (8:30 a.m. to 5:00 p.m., Eastern Time, Monday through Friday, except on Federal holidays). Calls should be answered promptly.

Implement quality control procedures to ensure the accuracy, appropriateness, understandability, sensitivity, convenience, and overall quality of responses. Calls received from members of Congress or their staff, the press, and the media are to be considered “Priority calls” and sent to the PO or his or her designee within one (1) hour of receipt during regular business hours or by 9:30 am on the next business day for requests received after hours, on weekends, or holidays.

Requests bearing deadlines (e.g., student assignments, health and wellness fairs, workshops, meetings, and conferences, and those containing checks or money) are identified for expedited handling and answered within two (2) days of receipt or sooner if required by the PO.

Determine if a caller is to be transferred to the NIMH, e.g., if the subject is scientific or technical, of a sensitive or political nature, involves Institute funding programs, or concerns policy issues specific to the NIMH or NIH. Callers requesting non-NIMH publications or information shall be referred to the appropriate NIH Institute or Office, Federal, or non-Federal organization.

Responses to calls will vary. Some calls will require a “standard response” needing referral information or sending printed information. Others will require an “oral custom response.” These may require additional research in order to respond to the call appropriately. Within 45 days of contract award, the Contractor will have the knowledge to respond to the majority of questions at the time of the initial call. If additional information is needed (e.g., a computer search, Institute report) the call is to be returned within three (3) working days.

Requests for printed material by phone are forwarded to fulfillment center within one (1) day of receipt. Oral custom responses requiring special research without a custom letter are sent within three (3) working days of receipt. Drafts of custom responses requiring a “custom letter are to be sent to PO within for approval within three (3) days of receipt or sooner. Final version is the be mailed within 1 day of PO approval.

Option Item Two (2)

Contractor is asked to provide a plan and associated costs for a voice mail system for the public to leave messages during non-business hours, allowing the NIMH to extend call service to the public to a 24/7 basis. Contractor is to provide a plan for implementation of the voice mail system within six (6) months of start of contract. Plan should include a detailed description of how calls received during non-business hours are to be handled to guarantee timeliness of response without raising staff labor hour cost significantly. Implementation of plan will be determined by PO.

Estimated telephone inquiries to Contractor hosted lines: 25,000 per year

Subtask 2c) Electronic Inquiries

E-Mail: Contractor will check the NIMH e-mail address (nimhinfo@nih.gov) daily and download all requests. All e-mail inquiries will be acknowledged with a standard acknowledgment (auto reply) at time of request, with additional follow-up as necessary. E-mails requiring boilerplate language or standard paragraphs are to be sent upon within two (2) days of receipt or sooner if requested by the PO. For e-mails requiring a custom e-mail response (i.e., more information is needed), submit a draft response to the PO for approval within two (2) days of receipt. The reply e-mail is to be sent within one (1) day of PO approval.

Requests bearing deadlines (e.g., student assignments, health and wellness fairs, workshops, meetings, and conferences) expedited handling and answered within two (2) days of receipt or sooner if required by the PO.

Estimated e-mail inquiries: 20,000 per year, increasing by 10% per year.

FAX 4U: Manage and update the Institute’s fax back system. The NIMH FAX4U system, currently utilizes FaxFacts by Copia Int’l. Contractor will be responsible for obtaining future system updates from Copia Int’l and ensuring that the fax back system is maintained and available on a 24/7 basis. Coordination with the NIH Telecommunications Office and MCI WorldCom is needed to transfer the fax back number 301-443-5158, from the NIMH to the Contractor. The system currently utilizes a Dell Pentium Pro CPU. This will need to be upgraded immediately upon contract award.

Estimated FAX 4U requests per year: 2,000 per year

Web and Fax Orders: All orders for publications from the Web and orders Faxed to the IRIB are to be date stamped by the Contractor and forwarded to DC ARC within 1 day of receipt.

Estimated Web orders: 10,000 per year. Estimated Fax orders: 1,500 per year

TASK 3. Telecommunications

The NIMH has an established Public Inquiries telephone numbers (301-443-4513) which has been in use for more than 30 years and is widely recognized Nationwide, and a toll-free number 1-877-9MHEALTH (1-877-964-3258). Telephone calls from the public(s) continue to come in via these numbers. Coordination with the NIH telecommunications Office and MCI WorldCom is needed to transfer these numbers, which terminate on Rolm equipment (x4513 with 4 appearances and 9MHEALTH with 2 appearances), from the current Contractor's site in Rockville, MD (PHS Switch) to the new Contractor's facility.

In addition the telephone system must have the capability to add new numbers, to hold callers in queue and forward numbers to the first available Information Specialist. At the close of this contract, the Contractor will arrange for the transfer of the Public Inquiries telephone numbers back to the PO or a successor Contractor.

A separate number(s) is needed for work-related calls such as communications with the PO, other Institute staff, and other business-related calls.

The Contractor shall provide a text telephone/telecommunication device for the deaf (TTY) approved by the PO or the Contractor shall be able to use communications software and TTY modem equipment so that TTY calls can be received through the computer independent of a TTY machine.

As needed disks are required in ASCII format for printed material to be recorded or converted to Braille for requests made by sight-impaired individuals.

In addition to telephone equipment and a voice mail system, the Contractor will be required to have in place a program for recording and analyzing phone activity. This program should provide data such as the number of incoming calls or calls answered; number of incoming calls per hour (to identify peak/off peak work load); duration of calls (high, low, and average or 54 calls were 1-5 min in length; 30 calls were 6-8 min; 24 calls were 9-10 min, etc.); number of outgoing calls per line; number of calls abandoned or dropped off; and; area of the country callers are from (area code). An analysis of the month's telephone activity is to be included in the monthly report.

TASK 4: Warehousing, Receiving, Mailing, and Distribution Services

The warehouse to be utilized for the storage and fulfillment functions related to this contract is the DC Association for Retarded Citizens, Ft. Lincoln Employment Training Center, 3130 V Street, NE, Washington, DC 20018. The services furnished by DC ARC include labor for picking, pulling materials, collating, assembling, stuffing of packages and envelopes, labeling and sealing, and other services related to packaging of printed material, warehousing and storage services, delivery of mail packages to the U.S. Postal Service or NIH Mail facility located on Stonestreet, Rockville, MD, monthly inventory of printed materials on hand, and logistical services for problems associated with distribution of large quantities of printed material. DC ARC will provide fulfillment for approximately 90 – 95% of the inquiries processed by the Contractor. DC ARC provides these services under a separate contract with IRIB, OCPL, NIMH. The Contractor shall work in concert

(partnership) with, but will not be fiscally responsible for warehouse, and fulfillment services provided by DC ARC, unless otherwise stated.

The Contractor must demonstrate the capability of working cooperatively with and providing guidance, when necessary, to DCARC concerning mailing projects, IT issues, and occasionally providing on-site observers for demonstration and quality control.

NIMH stores approximately 200" publication/material titles comprised of nearly 8,000 boxes of varying sizes. This is in addition to the publication and materials that the Contractor and IRIB currently have on hand for fulfillment of some orders.

The Contractor shall provide the following:

Subtask 4a) Receiving and Storing Materials

The Contractor must work in concert (partnership) with the DC ARC to ensure the provision of quality warehouse and fulfillment services. The DC ARC facility is to be the Contractor's warehouse facility. DC ARC stores materials on pallets/skids on the floor and in the air. DC ARC provides these services under a separate contract with the IRIB, OCPL, NIMH. DC ARC will notify the Contractor of receipt of materials, providing title, publications number, total number of boxes, and number of copies contained within a box and if materials are shrink-wrapped or otherwise packaged. DC ARC will provide to the Contractor with a monthly inventory of materials on hand.

The Contractor will be responsible for maintaining inventory of all new publications received at DC ARC and the Contractor's facility. Within 24 hours of receipt of publications and other material, notify the PO of the arrival date, item received, publication number, total number of boxes, and number of copies contained within a box, if materials are shrink-wrapped or otherwise packaged, problems, and any other pertinent information. All information is also entered into the IDMS publications inventory database within 24 hours. Provide the PO with a detailed monthly inventory of materials on hand.

The Contractor should support the functional integration of storage, distribution, and mailing activities. A small distribution area is to be maintained within the Contractor's facility, with at least a two-week supply of materials on hand for the fulfillment of inquiries requiring a short turn-around, or expedited delivery. This distribution area shall have approximately 400 square feet of floor space. This will be utilized for the mailing of expedited and custom responses.

Subtask 4b) Mailing

Provide the resources to package and mail all standard printed materials such as brochures, fact sheets, information packets, posters, etc. used to respond to user requests from their facility. These mailings will be sent out directly by the Contractor only in special situations and in those cases where immediate turn-around time is programmatically essential. For most mailings (90 – 95%), the Contractor shall use the fulfillment services of DC ARC. The Contractor is expected to coordinate distribution and carry out ongoing quality-control procedures. Most postal charges for the mailing of materials shall be paid by the government using a NIMH mailing permit number through the closest USPS mail center. Foreign (International) mail shall be delivered to the NIH Stonestreet Mail Center to take advantage of NIH negotiated Global rates.

Charges for the mailing of materials through the U.S. Postal Service are paid for directly by the Government, using NIMH-provided envelopes or labels with the NIH return address and NIMH mailing permit number. Interaction with Federal postal personnel at NIH and/or the U.S. Postal Service is needed to ensure all regulations are met and mail is distributed cost effectively. Copies of completed “Statement of Mailing with Penalty Permit Imprints” are to be provided with the monthly reports.

Subtask 4c) Distribution Services

Other services required include, but are not limited to:

- Bulk shipments sent throughout the U.S. to NIMH COEP organizations, for conferences and exhibits, as well as rush orders that are time-sensitive or may need to be traced. It is estimated that there will be between five (5) and ten (10) bulk shipments orders per month. Use of carriers that are the most cost-advantageous to the Government with billing to the Contractor. Arrangements for assembly of shipments to be readied for pick-up are to be made through DC ARC. It is estimated that these shipments will be evenly distributed across the country—i.e. 1/3 East coast, 1/3 West coast, and 1/3 Midwest.
- It is estimated there will be 15 special mailings per year that may range from 500 to 20,000 addressees, e.g., news stories, program announcements, and meeting information from the NIMH. Labels will be generated from the Institute mailing keys and/ or will be provided by NIMH. Unless other wise specified by the PO, such mailings must be completed and mailed in four (4) working days. Some mailings require assembly and collating of materials in a specific sequence. Spot-checking of shipments at regular intervals to ensure quality control is required.
- Respond to an estimated 30,000 requests per year that are received through the 3 toll-free telephone numbers, currently being handled by the Census Bureau, for various NIMH health education programs/campaigns. Each has topic or audience targeted information packets that are used to fulfill these requests. Currently there are 14 (fourteen) packets on depression and anxiety disorders for the general public, health professionals and Spanish speaking requestors. Other topics will be added periodically and the number of packets and/or the materials used to make-up these packets may change periodically.

Option Item Three (3):

If the Contractor already has a warehouse and distribution facility as described above and proposes that these be utilized/adapted to meet NIMH requirements, Contractor must provide a separate proposal, cost estimate and comparative analysis of the pros and cons of using DCARC vs Contractor (or provide listing of any sub-Contractor) providing these services. Provide recommendations as to benefits to be achieved and cost savings, if any, for either option for consideration by NIMH for all services indicated in Task 4, including:

- *Moving of all materials/boxes from two (2) locations: 1) current Contractor’s facility in Rockville, MD; and 2) the DCARC Warehouse in Washington, DC.*
- *Handling bulk mailings/shipments and related activities and provide warehousing, and inventory for NIMH materials (approximately 8,000 boxes currently, with capability to expand), including fulfillment services.*

- *Within one (1) week of contract award, develop a plan for approval by the PO, to coordinate and oversee the moving of all NIMH materials currently stored at two (2) locations. The move is to be accomplished within three (3) weeks of award of the Contract.*

Task 5: Reporting Requirements

Prepare and submit the following periodic reports as stated below:

Subtask 5a) Weekly Report

- Provide weekly reports of call volume, number of e-mails received and other data as deemed necessary. Some reports will be for a short period of time (days to weeks) to determine volume for a specific project, influx as result of media attention, etc.

Subtask 5b) Monthly Progress Report

The Contractor shall provide four (4) copies of this report. Three (3) copies to the PO and one (1) copy to the Contracting Officer. The report shall include:

- A brief statement of progress, overall and task-by-task, in the preceding month, focusing on activities that involve expenditures and obligations, including bulk distributions, or special shipment. Contacts with individuals or organizations outside IRIB should be indicated in this report.
- A discussion of problems encountered and resolution or proposed solutions.
- An accounting of costs by task, with a breakdown of labor hours and costs expended for each task of the preceding month and year to date. Names of staff and the hours they worked on various tasks shall be included.
- An inventory, at each location, of all publications as described by IDMS or another automated correspondence tracking system.
- A graphical analysis of inquiries, for example, telling how many came in by mail, how many by phone and toll-free calls from the daily and weekly call logs/records and how many by an electronic system (fax, e-mail, Web); how these were answered (custom letter, publications only, etc.); number of Spanish language requests. Reports should include call volume, peak/off peak volume, breakdowns of subject area (i.e., depression, anxiety disorders, obsessive-compulsive disorder, post traumatic stress disorder, generalized anxiety disorder, social phobia, and panic disorder) or audience specific requests i.e., Spanish and health professional packets and other data that may be included in the future for customer satisfaction purposes, results of special promotions, with accompanying charts and/or graphs suitable for presentations. Logs, records, and reports are to be electronically delivered to NIMH. Data from these are maintained electronically for a period of two (2) years.
- An analyses for geographical area, affiliation, occupation, subject areas, type of correspondence, source of inquiry, inventory, quantity distributed, etc. In addition, special reports on any of

- these topics and other topics as requested by the PO, most often on a quarterly or half-yearly basis. Reports on inquiries generated by any special projects or media events.
- Reports on training activities and progress in training.
- As requested by the PO, additional information that is needed to assist the PO in making planning decisions.
- A statement that the Contractor will (or will not) complete contract responsibilities in accordance with the time frame specified in the delivery schedule and will (or will not) be completed within the budgeted amount.
- An outline of planned activities for the upcoming reporting period.

Subtask 5c) Quarterly report

All the items itemized in subtasks 5a , b, and c above may also be requested on a quarterly basis.

Subtask 5d) Annual Report

The Contractor shall prepare an annual report. This report is due 12 months after the contract is awarded and every 12 months thereafter. An annual report for the final year of the contract will be incorporated into the final report. Three (3) copies of each Annual report shall be provided to the PO and one (1) to the Contracting Officer.

The annual report shall describe accomplishments by task and provide a candid assessment of the performance, noting major problems that arose and how they were solved and include a comparison between the accomplishments and expenditures projected in the annual plan and actual accomplishments and expenditures, discussing and explaining any changes.

Subtask 5e) Final Report

Four (4) weeks prior to the contract expiration date, submit to the PO for review and approval, three (3) copies of a draft final report that summarizes the results of the activities conducted during the performance of the contract, including problems encountered and their solutions. The Contractor shall incorporate any comments or suggestions received from the PO into the final report. After approval of the draft by the PO, submit three (3) copies of the final report to the PO and one (1) copy to the Contracting Officer by the contract expiration date.

Subtask 5f) Ad Hoc Reports

On an as needed or annual basis to be determined by the PO the Contractor shall assist in developing target elements for the NIMH communications requirements for various reports such as GYPRA, Health Disparities, Spanish Language Initiative, Plain Language and other ad hoc reports as presented. Contractor will also assist in providing language and data indicating OCPL status in fulfilling target elements. Planning, strategizing, and reporting may be needed on short notice

TASK 6: Catalog

Develop an annual catalog: 1) catalog should feature NIMH materials, Schizophrenia Bulletin, clinical trials, programs, Web site, and segmented categories for health professionals, educators, researchers, parents, clinicians, etc. and; 2) catalog should include information of NIMH materials available from the Government Printing Office and the Consumer Information Center. Draft of catalog is due six (6) months after the start of the contract. Final catalog due as determined by PO.

TASK 7: Customer Satisfaction Survey

Design and develop an information collection survey to gather information about how the users view NIMH information services and products. Provide a justification for approval of the survey and complete all required clearance forms as required by the OMB. Describe the nature and purpose of the survey, the respondent population, the method of collection, the way the information is to be used, and the estimated time needed for each respondent (burden per respondent). The survey should be ready for collection of information, along with all required approvals, at the beginning of the third (3rd) contract year. Contractor will need to plan for the OMB approval process.

Compile and analyze the data collected from the survey and provide a detailed report with recommendations to the PO accompanied by appropriate and pertinent charts and graphs of the survey results. The survey report shall be due three (3) months after completion of the survey.

To complete this requirement Contractor must have staff or access to a consultant who is proficient in the techniques of surveying or interviewing users of information services, including methods of collection (i.e., providing reply cards, assembling focus groups, evaluating 800 number services, or other similar techniques).

TASK 8: Messenger Service

Provide messenger pick-ups and deliveries between the Contractor's facilities and NIMH, IRIB, located at 6001 Executive Boulevard, Room 8184, Rockville, MD (at least twice a week) other NIH offices on or off campus, and approximately five (5) special runs per month in the Washington Metropolitan area. In an emergency situation, pick up or delivery may be requested within two (2) hours of notification. Daily deliveries of labels and pick-slips are to be made to the fulfillment center.

Appropriate transportation equipment (e.g., hand truck) is to be provided by the Contractor. Messenger must have the physical ability to pick up and deliver boxes (approximate weight estimated at 30 to 50 lbs per box), as well as exhibit tubes, correspondence, journals, and reports.

TASK 9: Reproductions

Provide clean, readable copies of all photocopied (copyright free) materials used in responding to inquiries. Access to a color copier is needed for some reproductions.

Estimated Need	<u>Pages</u>	<u>No. of Copies per Year</u>
15 NIMH Supported Information Packets	25 to 60	Up to 2,000 each.
10 Fact Sheets	2 to 6	Up to 5,000 each.

These are to be appropriately packaged, boxed, and labeled and entered into the IDMS publications inventory database.

TASK 10: Cost Recovery

At the beginning of 2nd year of contract award, submit as part of the Work Plan (see Task 1), an analysis of recovery of postage and handling of publications to help defray the cost of access to materials and information, particularly bulk publications. Propose effective cost containment and cost recovery strategies and practices. Suggest appropriate fees for specific publications and materials to be included in a cost recovery effort. Include costs of duplication, postage, and handling. All publications and materials to be included in this effort will be approved by the PO. Implementation of a cost recovery effort, if approved by the PO, will begin in year three (3) of the contract.

Collection of all fees and recovery of all shipping costs will be the responsibility of the Contractor (payment by check will be made payable to the Contractor). Maintain a record of all user charges and collections and provide a separate auditable accounting of income from cost recovery efforts in each monthly report, as well as documentation that all funds have been used to offset the costs of the contract.

TASK 11: Staffing, Training and Continuing Education

Subtask 11a) Staffing

All staff responding to inquiries must, at a minimum, have knowledge of NIMH mission, programs, research, clinical studies, education programs, grant funding programs, causation (risk factors), prevention, epidemiology and statistics, intervention, symptom detection and diagnosis.

Also, current issues of greatest interest to researchers and others interested in prevention and treatment, state-of-the-art articles, and experts in particular areas, health disparities, rural mental health, and services research and evidence based interventions, NIMH publications and other printed material.

NIMH strives to increase awareness of mental health issues, educate the public about breakthroughs in research and the basic science of mental illness, and promote prevention efforts. The mental disorders to be dealt with under this contract are quite diverse. They include depressive disorders including bipolar disorder, anxiety disorders, schizophrenia, attention deficit hyperactivity disorder (ADHD), borderline personality disorder (BPD), autism and other pervasive developmental disorders, eating disorders, childhood mental disorders, and Alzheimer's disease. Suicide is also a major issue for the NIMH.

NIMH-supported research has produced in the past and continues to produce immensely important findings relevant to these disorders, and it is essential that they be effectively conveyed to people with mental illness and their family and friends, the general public, voluntary and professional groups, researchers, health and mental health care professionals, etc.

Computer Programmer must have a bachelor's Degree from an accredited university or college in computer science or Information Management Systems, a Certified Technical Training certificate

and at least 5 years experience in the Information Technology and telecommunications field. In addition, programmer must have experience in programming, systems analysis, security and the systems life cycle. In addition must demonstrate progressively responsible experience in using the following software packages: Cold Fusion, ASP, SQL and SQL Server, Windows 98+, Visual FoxPro, C++, Crystal Reports, MS Office Suite 2000, MS Exchange, MS Word, Access, PowerPoint, Outreach, and Excel.

At least two (2) information specialists must possess an in-depth knowledge of these topics, although cross-training of all information specialists is required. For example, individuals with an in-depth knowledge of causation could present a knowledge awareness session for all information specialists on staff.

At least one (1) staff member must be knowledgeable about clinical trials and another staff member must be fluent in Spanish to respond to written, telephone, e-mail and Web requests. Contractor should have access to translators fluent in other languages on an as needed basis.

Subtask 11b) Initial Training and Continuing Education

All staff members must go through an initial training before responding to inquiries. Training, which must occur and be completed within one (1) month after the award of the contract. In addition to the areas indicated in Subtask 11a, other areas of training include knowledge of other relevant Federal agencies; key organizations in the field of mental health and mental disorders; online resources and resource materials and sources; operating policies and procedures including Privacy Act, Freedom of Information Act, and 508 accessibility standards, and plain language requirements.

Establish standards for the training of all new staff members and ensure they have satisfied minimum training requirements before beginning to respond to inquiries on their own. Refresher training courses shall be conducted periodically. All training plans and materials must be approved by the PO.

Train employees on how to use the IDMS and its accompanying systems (standard letter/paragraph database and the Mental Health Resources Database) and the mailing key system and familiarize employees with documentation and other resource materials needed to operate these systems. The monthly report to the PO should include training activities and progress. The Contractor staff must be familiar with sample letters and boilerplate language developed by the Contractor with PO approval.

Ensure that staff responding to telephone inquiries have outstanding telephone skills and techniques and the ability to respond in a positive and professional manner to all callers, in particular, Congressional offices, private sector and government executives, and callers suffering from a mental disorder or contemplating suicide (crisis handling techniques.) Review calls handled by new staff for the first 20 to 30 working days of service and as deemed appropriate thereafter.

Provide continuing education as new information or use of new systems as it becomes available.

TASK 12: Exhibit Support

The NIMH exhibits at approximately 30 selected meetings and conferences, health fairs, etc. each year to promote NIMH materials, messages, campaigns, programs, and research advances. Currently, exhibit program logistics are handled by the NIMH logistics Contractor, BL Seamon and Associates, Inc.

The IRIB requires an Exhibit Liaison/Coordinator. An individual who will work with the current and/or future logistics Contractor in developing a yearly exhibit schedule, determine materials to be sent for each meeting, based on Institute messages, meeting theme, and materials in stock, and will coordinate exhibit staffing by Institute personnel.

Option Item Four (4):

Contractor to provide a separate staffing and cost proposal for this option as part of this RFP. Acceptance/implementation of proposal is at the discretion of the PO should the NIMH decide to have the Contractor provide support for the entire Exhibit Program. The Contractor will be expected to provide staff knowledgeable about NIMH programs and activities, funding opportunities, clinical trials, reports, publications, etc. for approximately 15 exhibits per year, some in the Washington, DC area and others across the U.S. Other tasks include:

- *Coordinating with NIMH and/or its Contractor to plan, organize, and supervise exhibit schedules*
- *Arranging for space and pay exhibit and other fees*
- *Arranging for shipping of exhibit structures and materials to and from the meeting site*
- *Assembling, dismantling, packing, and examining exhibit structures for damage when returned*
- *Arranging for travel, lodging, and per diem for Contractor staff to provide on-site meeting support as needed*

TASK 13: Transition Plan and Close Out

Subtask 13a) Transition Plan

Prepare a transition plan for start-up and the orderly transfer of publications, other materials, electronic systems, equipment, etc. to be approved by the PO, two (2) months prior to the end of the contract expiration date.

Subtask 13b) Close-out

Perform the following activities at the time of contract expiration:

Cooperate fully with the successor Contractor. Participate in meetings and/or telephone conversations with the PO and successor Contractor to discuss current procedures and activities in detail and to develop a delivery schedule for the transfer of materials.

- Cooperate fully in the timely transfer of the NIMH telephone lines --public inquiry number 301-443-4513, the 800 number 877-9MHEALTH, and the FAX4U number 301-443-5158 and the TTY number 301-443-8431—to successor Contractor.

- Deliver to the successor Contractor's facility the following in accordance with delivery schedule: All stored publications and materials at their headquarters site and/or stored in a warehouse facility; any equipment provided or purchased under the contract, such as IT hardware or software; all reference materials purchased under the contract; all archives and correspondence files; shelf supplies of publications and materials used in responding to inquiries; any administrative or program files relating to this contract; and a final publications and materials inventory.
- Deliver to the PO or, if directed by the PO, to the successor Contractor all software programs developed or altered in the performance of this contract and for which contract funds were expended, including any used to access the Mailing Key system and IDMS or another system of that type--; all electronic systems, databases, source code, systems documentation and user manuals, etc.; These programs are to be provided on disk in the form of duplicate copies of dumps of programs, and dumps of sample records and/or hard copy. Full documentation, source code and manuals pertaining to the programs will be provided by the Contractor.
- Pack all materials in new boxes of uniform size, each labeled with a unique number, and delivered beginning the first working day of the last week of the last month of the contract period. Provide to the PO (and to the successor Contractor if directed by the PO) copies of an inventory showing the contents of each box. All boxes of publications and materials should be delivered on pallets.

IV. PERFORMANCE STANDARDS AND MEASURES CHART

The resulting contract will be performance based (also referred to as Performance Based Service Contracting (PBSC). The elements of PBSC included in the table below are: 1) performance requirements/tasks; 2) performance/task standards; 3) method of surveillance/measurement techniques; 4) performance indicators; 5) positive and negative incentives/award fee structure. The method of surveillance also incorporates use of an award fee evaluation group (see attachment 5). The award fee system is further explained in attachment 5.

The below table is subject to modification based on negotiations/discussions prior to award. Any modifications proposed by the offeror must be detailed in the original technical proposal.

TASK	TASK STANDARD	METHOD OF SURVEILLANCE	PERFORMANCE INDICATORS	AWARD FEE
<u>TASK 1: Inquiries and Inventory Database Management System (IDMS)</u>	Develop or adapt, test, implement, and maintain integrated web-based, multi-user, database systems with interfaces for the following:	Ability of Contractor and NIMH to quickly access system at all times, provide flexibility for expanded storage and data retrieval. Random check.	Dependability of system to run without error and shut - down. After start up, error and shut down rate no more than once per month average.	Task One Weight = 20% of award fee
a) Inquiry Processing/Inventory Tracking and Management	Screen and respond to appropriately to 100,000+ inquiries per year, received by mail, e-mail, telephone, and fax for publications and information about NIMH programs and activities, mental illnesses and mental health.	Number of requests received, number of responses sent out, and number of packages returned from Post office as undeliverable. Ability to enter system. Information provided on weekly report. Random check.	Processing within 48-72 hours or less, backlog of no more than 2 days. Access inventory from all locations (NIMH, Contractor and DC ARC) at all times. No more than 2% packages returned as undeliverable due to addressing error. No manual data entries.	
	Provide accurate and up-to-date automated Web-based on-line ordering of NIMH publications. Process inquiries and maintain inventory.	Random check. Ability to maintain and track inquiries and computerized inventory.	All orders entered into IDMS. All materials sent to requestor are correct. Inventory is up to date and current.	
b) Information Resources and Referral Component	Be familiar with information sources on the Internet that address mental health and mental disorders, health information resources, and relevant medical research sites. Be proficient in searching, reading, and retrieving information from Internet and other sources. Develop and maintain database.	Appropriateness of sources and outgoing responses. Random checks.	Develop and maintain an in - depth information and referral database, including boilerplate paragraphs, letters, messages, etc.	
c) Electronic Response and Records Retention	Provide an electronic record of orders from all sources. Ability to maintain inventory, to track orders and maintain data.	Random check.	All orders entered into system for tracking and access to records and inventory.	

TASK	TASK STANDARD	METHOD OF SURVEILLANCE	PERFORMANCE INDICATORS	AWARD FEE
d) Mailing Keys Component and Maintenance	Maintain and update mailing lists and provide mailing labels/order forms.	Review of entries and their appropriateness for the category. Updating on a regular basis.	No more than 10% of returns due to Contractor error. Ability to print labels and order forms daily.	
<u>TASK 2. Responding to Public Inquiries</u> Subtasks 2a) Written Inquiries 2b) Telephone Inquiries 2c) Electronic Inquiries	Provide standard or custom responses to all inquiries in English or in Spanish. Open mail, date stamp, determine if letter requires Priority or Expedited handling. Provide standard or custom responses. Respond to telephone inquiries appropriately, in a courteous, sensitive manner. Manage and update Fax back system.	Random checks. Review of deliverables. Random test calls by NIMH staff. Monitor system to assure proper functioning.	Appropriate responses to inquiries in English and Spanish. Ensure accuracy, appropriateness, understandability, sensitivity and high quality for all responses. Respond to inquiries in a timely fashion. Written and telephone inquiries responded to within 3-5 working days. Dependability of FAX back system to run without error 24/7.	Task Two Weight = 25% of award fee
<u>TASK 3. Telecommunications</u>	Provide and use interactive telephone equipment for calls to the existing NIMH public inquiry numbers (includes toll-free number) that are forwarded directly to the contractor. Have capability for the addition of new numbers or more toll-free lines. Provide phone enhancements such as playing of mental health messages while callers are on hold, holding callers in queue, forwarding to next available information specialist(s), etc. Provide analytical data for evaluation of incoming calls. Provide support and respond to TTY telephone. Work with the Census Bureau in receiving requests from toll free lines.	Review of deliverables. Work with NIH telecom-munications Office and MCIWorld Com or other provider as needed. Ability of public to access system at all times, provide flexibility for expanded storage and data retrieval. Ensure that all system enhancements are working correctly and are appropriate (messages may change periodically) Monitoring of TTY complaints. Notification of failure of transmissions.	Maintain existing numbers with ability to add other numbers. All systems working 98% of time. Ability of hearing impaired to access TTY device at all times Transmission of labels and data on a daily basis.	Task Three Weight = 10% of award fee

TASK	TASK STANDARD	METHOD OF SURVEILLANCE	PERFORMANCE INDICATORS	AWARD FEE
<u>TASK 4: Warehousing, Receiving, Mailing, and Distribution Services</u> Subtasks 4a) Receiving and Storing Materials 4b) Mailing 4c) Distribution Services	<p>Coordinate with DC ARC to keep track of incoming and outgoing shipments. Enter quantities into IDMS.</p> <p>Provide all labor, facilities, equipment, services, and supplies needed to send out orders requiring expedited, priority or bulk mail processing.</p>	<p>Random check.</p> <p>Review of deliverables.</p> <p>Check of incoming shipments.</p>	<p>Work cooperatively with DCARC to provide services.</p> <p>Process all requests, in a timely manner, including priority, expedited and/or requests for bulk mailing.</p> <p>Have in -depth knowledge of all US Postal Service and NIH/NIMH mail regulations.</p> <p>All equipment in working condition, sufficient supplies on hand and personnel available to process inquiries.</p>	Task Four Weight = 10% of award fee
<u>Task 5: Reporting Requirements</u> Subtasks 5a) Weekly report 5b) Monthly Report 5c) Quarterly Report 5d) Annual Report 5e) Final Report 5f) Ad Hoc Reports	<p>Outlined in SOW</p>	<p>Review of reports, charts, and graphs.</p>	<p>Contains all elements specified in SOW and/or requested by PO,</p> <p>Reports are delivered on time 98% compliance.</p>	Task Five Weight = 13% of award fee
<u>TASK 6: Catalog</u>	<p>Develop an annual catalog to include all elements indicated in SOW.</p> <p>Prepare draft of catalog.</p>	<p>PO review and approval of format and material to be included catalog.</p>	<p>Catalog contains all elements specified in SOW, accurate information is presented, draft due 6 months after start of contract.</p> <p>Final due date to be determined by PO.</p>	
<u>TASK 7: Customer Satisfaction Survey</u>	<p>Devise a method to measure customer satisfaction.</p>	<p>Prepare justification for OMB clearance, develop survey instrument, implement survey, compile and analyze data from survey.</p>	<p>Obtain OMB clearance, be survey ready to be conducted at the beginning of 3rd year, deliver results within 3 months of completion of survey. Customer Survey feedback 90% favorable.</p>	
<u>TASK 8: Messenger Service</u>	<p>Provide messenger service twice a week or more often if deemed necessary by the PO, make pick ups and deliveries to other NIH offices on or off campus, and make special runs as directed by the PO. In an emergency situation, the messenger should be prepared to pick up or deliver material within two (2) hours of notification.</p> <p>Messenger must be physically able to pick up and deliver heavy boxes.</p> <p>Have appropriate transportation vehicle and equipment available.</p>	<p>Monitor adherence to schedule for routine pick -ups and deliveries to NIMH offices and other NIH offices and availability of messenger for special deliveries in Washington Metropolitan Area. and for emergency deliveries.</p>	<p>Routine pick-ups and deliveries on time 95% of time.</p> <p>Special deliveries on time 95% of time.</p> <p>Emergency deliveries 100% on time.</p> <p>Transportation vehicle in working order and available 95% of time.</p>	

TASK	TASK STANDARD	METHOD OF SURVEILLANCE	PERFORMANCE INDICATORS	AWARD FEE
<u>TASK 9: Reproductions</u>	<p>Provide clean, readable copies of all photocopied (copyright free) materials in black and white and in color as needed.</p> <p>Materials to be packaged appropriately, labeled and entered into IDMS requested by PO.</p>	<p>Contractor prepares all documents for copying. Verify no copyright exists and number of copies to be copied.</p> <p>PO review of material to be copied.</p> <p>Materials added to inventory if requested.</p>	<p>All pages in order 100% of time. Text, charts, and graphs are crisp and clean.</p> <p>Correct number of copies provided to PO.</p> <p>Inventory reflects addition of materials added.</p>	
<u>TASK 10: Cost Recovery</u>	<p>Do an analysis of recovery of postage and handling costs to help defray contract costs. Recommend publications to be included in cost recovery implementation.</p>	<p>Using the plan approved by PO, contractor to handle the accounting procedures involved and maintain a record of all user charges and collections.</p> <p>Provide an auditable accounting of income from cost recovery in each monthly report, as well as documentation that all funds have been used for the dissemination of NIMH materials.</p>	<p>Fees are being collected for publications in cost recovery plan.</p> <p>Monthly report indicates that correct fees are being collected and indicates cost reduction in disseminating NIMH publications.</p>	
<u>TASK 11: Staffing, Training, and Continuing Education Subtasks</u> 11a) Staffing 11b) Initial Training and Continuing Education	<p>Information specialist(s) possess the necessary background and knowledge of NIMH's mission, programs, research, mental health disorders and illnesses, publications, etc.</p> <p>Prepare Procedures Manual for review by PO.</p> <p>Expertise to compose in plain language customized responses to queries from researchers, mental health professionals, patients, members of Congress, the public, and others.</p> <p>Provide at least one staff member knowledgeable about clinical trials.</p>	<p>Random review of letters and e-mails written.</p> <p>Review of updates by PO for appropriate referrals, entries, and procedures.</p> <p>Ability to provide staff with relevant experience as indicated.</p>	<p>Be familiar with all areas of mental health.</p> <p>Procedures manual to be up to date. Updates sent on regular basis to PO. Correct response to inquiries indicated 95% of time.</p> <p>Information specialist(s) possess the necessary background and knowledge in biomedical or psychology, behavioral and social sciences, and expertise to compose in plain language customized responses to queries from researchers, mental health professionals, patients, members of Congress, the public, and others; and prepare in proper format; evidenced by degree or work experience in health fields, resume with contact information.</p>	<p>Task Eleven Weight = 15% of award fee</p>
<u>TASK 12: Exhibit Support</u>	<p>Assist in planning of NIMH materials to be sent, shipping materials, and exhibits, tracking of shipments for approximately 30 selected meetings, conferences, health fairs, etc., per year.</p> <p>Be familiar with exhibit shipping instructions (to and from exhibits). Maintain a log of organizations and dates of meetings.</p>	<p>Review of publications list.</p> <p>Review of table/log of exhibit schedule.</p>	<p>Appropriate materials arrive according to schedule.</p>	<p>Task Twelve Weight = 7% of award fee</p>

TASK	TASK STANDARD	METHOD OF SURVEILLANCE	PERFORMANCE INDICATORS	AWARD FEE
<u>TASK 13: Transition Plan and Close Out</u> <u>Subtasks</u>	Prepare a transition plan for transfer of all materials and systems to successor contractor.	Review by PO.	Plan due 2 months prior to end of the contract.	
13a) Transition Plan	Cooperate fully with successor Contractor and participate in meetings or telephone conversations regarding the changeover	Develop a delivery schedule for the transfer of materials.	Materials to be delivered in accordance with schedule.	
13b) Close-out	Deliver materials to successor Contractor or PO as determined appropriate. All materials to be packaged appropriately.	All files, equipment, publications, etc. to be delivered as indicated in transition plan	100% compliance with delivery of all materials to NIMH and successor contractor	

V. Exercise of Options

1) Option to extend the term of the contract

- (a) The Government may extend the term of this contract by written notice to the contractor provided that the Government shall give the contractor a preliminary written notice of its intent to extend at least 60 days before the contract expires. The preliminary notice does not commit the Government to an extension.
- (b) If the Government exercises this option, the extended contract shall be considered to include this option provision.
- (c) The total duration of this contract, including the exercise of any options under this clause, shall not extend beyond 60 months from the effective date of this contract.

Your attention is drawn to the following clause appearing in full text and located at the end of Section L of this Request for Proposal package - FAR 52.217-5
EVALUATION OF OPTIONS (JUL 1990)

2) Option for Additional Services –

Option Items One (1) through Four (4) (See SOW, attachment 2)

The Government may add the options for additional services specified in the Statement of Work within 10 days; provided that the Government gives the Contractor a preliminary written notice of its intent at least 30 days in advance. The preliminary notice does not commit the Government to the exercise of option items.

VI. Acronyms

AOP – Annual Work (Operating) Plan
COEP – Constituency Outreach and Education Program
C.O. – Contracting Officer, NIMH
CPU – Central Processing Unit
DCARC – DC Association for Retarded Citizens
IC – Information Center
IDMS – Inquiries and Inventory Database Management System
IRIB – Information Resources and Inquiries Branch

IRTMB – Information Resource and Technology Management and Analysis Branch
ISS – Information Support Services
LAN – Local Area Network
NIH - National Institutes of Health
NIMH – National Institute of Mental Health
NPC – National Processing Center, U.S. Census Bureau
OCPL – Office of Communications and Public Liaison
PHS – Public Health Service
PO – NIMH Project Officer
PSA – Public Service Announcement
RAM – Random Access Memory
RFP – Request for Proposal
TADS – Teen and Adolescent Depression Study
TTY – Teletype
USPS – United States Postal Service

ATTACHMENT 2

REPORTING REQUIREMENTS AND DELIVERABLES

1. Period of Performance

Performance of this contract shall begin on the effective date of the contract (EDOC) and shall not exceed beyond the estimated completion date of the contract unless the period is extended by modification to the contract. The period of performance of this contract is three (3) years, with two (2) twelve (12) month option periods commencing from the effective date of this contract.

2. Delivery and Reports Schedule

After the contract award date, the Contractor shall deliver the following items to the Government Project Officer (GPO) in accordance with the delivery schedule set forth below. In addition, one (1) copy of the work plan, one (1) copy of the monthly progress reports and one (1) copy of the final report shall be delivered to the Contracting Officer by the specified delivery date.

The below table is subject to modification based on negotiations/discussions prior to award. Any modifications proposed by the offeror must be detailed in the original technical proposal.

ITEM/DESCRIPTION	# COPIES	DUE DATE
Meetings Weekly Meetings Ongoing Meetings	N/A	Meet with PO weekly for first 3 months after contract award Biweekly or monthly as determined by PO
Work Plan Meet with PO Final Annual update	- 3 3	Within 1 week of EDOC 3 weeks after EDOC Anniversary date of EDOC
Inquiries & Inventory Database Management System (IDMS)	N/A	Within 4 weeks of EDOC: Provide prototype demonstration of overall system architecture and work plan of components to be developed. Within 8 weeks of EDOC: Give demonstration of entire system. Within 10 weeks of EDOC: System (a, b, c, d) should be fully functional Within 12 weeks of EDOC: Develop and provide an IDMS Technical Systems Specifications Document.

ITEM/DESCRIPTION	# COPIES	DUE DATE
a. Inquiries Processing/Inventory Tracking Component		<p>Within 4 weeks of award of contract: Provide proposal of design structure of this component (including all data fields)</p> <p>Within 6 weeks: demonstration of this component</p> <p>Within 8 weeks: all content from previous contract transferred (e.g., publication inventory)</p>
b. Information Resources and Referral Component		<p>Within 4 weeks of contract award: Provide proposal of design structure of this component (including all data fields)</p> <p>Within 4 weeks: provide draft of resource and referral entries for approval by PO.</p> <p>Within 6 weeks: demonstration of this component</p> <p>Within 8 weeks: all resource and referral data entered into system</p>
c. Electronic Response and Records Retention Component		<p>Within 4 weeks of contract award: Provide proposal of design structure of this component (including all data fields)</p> <p>Within 6 weeks: Demonstration of functions of this component (NIMH will provide test data of incoming e-mail for use for 6 week demonstration)</p>
d. Mailing Key Component		<p>Within 4 weeks of contract award: Provide proposal of structure of database (including all fields)</p> <p>Within 6 weeks: Demonstration of database functions (NIMH will provide sample mailing list for 6 week demonstration).</p>
Mailing Key Maintenance Verify accuracy of address information Notification of change of address Bar Coding	3	<p>6 months after contract award, every 2 years thereafter</p> <p>Within 1 week of receipt of change of address</p> <p>Feasibility Report due at beginning of 2nd year of contract</p>

ITEM/DESCRIPTION	# COPIES	DUE DATE
Procedures Manual Draft Final Updates Semi-annual Annual	2 3 3 3 3	Within 3 months of EDOC 6 months after EDOC Approved by PO as they occur Review of manual every 6 months after first 6 months of contract Submit with annual Work Plan
Responding to Public Inquiries <i>Written Inquiries</i> Receive and fill publication orders Respond to all inquiries Open and stamp all requests Requests considered “crisis” Requests with deadlines or identified for expedited handling Standard Responses for printed materials Custom Responses – Draft Final Version	- - - 1 - - - 1 -	Within 30 days after EDOC Within 45 days after EDOC Within 1 day of receipt Draft response within 1 hour of receipt or by 9:30 next business day and forward immediately to PO or designee Mail within 1 day of PO approval Forward to DCARC within 1 day of receipt Forward to DCARC within 1 day of receipt Send to PO or designee within 3 days of receipt or sooner Mail within 1 day of PO approval
Telephone Inquiries Messages and scripts, English and Spanish Messages recorded Requests with deadlines or requiring expedited handling Priority calls Standard Response, printed material only Oral custom response (phone Oral custom response (with custom letter)	3 - - - - 1 -	Drafts to PO within 1 week of EDOC Within 2 weeks of EDOC Send out within 2 days of receipt or sooner if requested by PO Forward to the PO or designee within 1 hour of receipt or by 9:30 next business day Send to DCARC within 1 day of receipt Inform caller response will be within 3 working days after initial request Draft to PO within 3 days of receipt of call or Final version mailed within 1 day of PO approval

ITEM/DESCRIPTION	# COPIES	DUE DATE
<i>Electronic Inquiries</i> E-mail (standard paragraphs only) E-mail (custom e-mail response) Requests with deadlines or requiring expedited handling Web and Fax orders (for publications only) Labels from Census Bureau Toll-free lines FAX 4U, update system Maintain system and availability for use 24/7	- 1 - - - - - - -	Standard acknowledgement (auto reply) sent at time of request Draft to PO within 2 days of receipt Final version e-mailed within 1 day of PO approval Send out within 2 days of receipt or sooner if requested by PO Date stamp and send to DCARC within 1 day of receipt Send to DCARC within 1 day of receipt. Send to DCARC within 1 day of receipt or same day if electronic Upon contract award Ongoing
Telecommunications Coordinate with NIH Telecommunications Office and MCI WorldCom (or other) for transfer of telephone lines Provide separate number for NIMH communication Provide TTY device for the deaf	N/A N/A	Telephone lines should be transferred and operational within 2 weeks of EDOC Immediately upon contract award Operational within 1 month of EDOC
Receiving Material	N/A	Notify PO within 24 hours of receipt of materials at contractor's facility or notification of receipt by DC ARC Enter into IDMS within 24 hours
Annual Catalog Draft Final	2 3	Due 6 months after start of contract Due date to be determined by PO
Customer Satisfaction Survey OMB justification, approval and design	- 3 -	By beginning of 3 rd year of contract Timeline to be determined by PO Due 3 months after completion of survey

ITEM/DESCRIPTION	# COPIES	DUE DATE
Cost-Recovery Analysis Report of analysis	3	Submit with Work Plan at beginning of 2 nd year of contract
Reports Weekly Monthly Quarterly Annual Ad Hoc Final	2 3 3 3 3 3	By Tuesday of following week By 10 th of following month By 10 th of month following quarter By 15 th of month, 12 months after contract award and annually for remaining contract period As requested Due 4 weeks before contract expiration date
Transition Plan	3	Due 2 months before contract expiration date

3. Clauses Incorporated by Reference (FAR 52.252-2 - JUN 1988)

This contract incorporates the following clause by reference, with the same force and effect as if it were given in full text. A full text of this clause may be accessed electronically at the following address: <http://www.arnet.gov>.

FEDERAL ACQUISITION REGULATION (FAR) (48 CFR CHAPTER I) CLAUSES

52.242-15 Stop Work Order (AUG 1989) Alternate I (APR 1984)
52.246-8 Inspection of Research and Development – Cost Reimbursement (April 1984)

ATTACHMENT 3

EVALUATION CRITERIA FOR AWARD

I. GENERAL-BASIS FOR AWARD

Selection of an offeror for contract award will be based on an evaluation of proposals against three (3) factors. The factors, in order of importance are Technical, Past Performance, and Cost/Price. Although technical factors are of paramount consideration in the award of the contract, past performance, and cost/price are also important to the overall contract award decision. All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. In any case, the Government reserves the right to make an award to that offeror whose proposal provides the best overall value to the Government.

Proposals are intended to be evaluated and award made after discussions with offerors, but an award may be made without discussions with offerors.

II. EVALUATION FACTORS FOR CONTRACT AWARD- TECHNICAL EVALUATION CRITERIA AND ASSIGNED WEIGHTS

1. GENERAL

The evaluation will be based on the demonstrated capabilities of the offerors in relation to the needs of the project as set forth in the RFP. The merit of each proposal will be evaluated carefully, based on responsiveness to the RFP and thoroughness and feasibility of the technical approach taken. Offerors must submit information sufficient to evaluate their proposals based on the detailed criteria listed below.

Failure to provide the information required to evaluate the proposal may result in rejection of that proposal without further consideration. Proposals which merely offer to conduct a project in accordance with the requirements of the Government's scope of work will be considered non-responsive to this request and will not be considered further. Offerors must submit an explanation of the technical approach and a detailed description of the tasks to be performed to achieve the project objectives.

2. RELATIVE IMPORTANCE OF TECHNICAL AND COST FACTORS

Award will be made based on technical, past performance, and cost/price factors. Paramount consideration shall be given to the evaluation of the technical proposals, but not to the exclusion of past performance and cost considerations. While high competency is sought, capabilities that exceed those needed for successful performance of the contract work/statement are not requested. In the event that the technical evaluation reveals that multiple Offerors are approximately equal in technical ability, then the estimated cost of performance will become paramount.

3. TECHNICAL EVALUATION CRITERIA

The evaluation criteria are used by the technical evaluation committee when reviewing the technical proposals. Proposals will be judged solely on the written material provided by the Offeror. Proposals submitted in response to this RFP will be evaluated based on the following criteria, which are listed and weighted in order of their relative importance. Your technical proposal should follow the same format and be divided in sections as presented below:

CRITERIA

WEIGHT

I. Understanding the Scope and Purpose of the Project **Maximum Points - 10**

The offeror must provide a comprehensive statement of the scope and purpose of the project to demonstrate complete understanding of the intent and requirements. This understanding should provide a clear awareness of the contract objectives and their significance. Offeror should demonstrate knowledge of the mission and research of the NIH; mission and research of mental disorders and mental health; sources of information in these areas; and resources available to the public and health professionals.

II. Technical Approach **Maximum Points -35**

A. Technical Approach/Expertise – The offeror must include a full and documented explanation of the approach, techniques and procedures that the offeror proposes to follow. The offeror must fully demonstrate their ability to accomplish each of the objectives, along with the proposed tasks and subtasks which they propose to employ to ensure the success of the contract. The offeror must provide a detailed narrative describing pertinent work already performed focusing on mental health issues. Specifically, the offer must demonstrate experience in carrying out the activities of a health-based Information Center or Clearinghouse, including the capability and flexibility to work with an expanding information dissemination program.

1. Responding to Inquiries – The offeror must demonstrate the ability to provide the services, facilities, and personnel for an inquiries response and information dissemination program. The offeror shall provide a detailed accounting of the tasks to be accomplished and methods for achieving these tasks to respond 100,000± requests per year for information on mental health and mental illness, including the diagnosis, prevention, treatment, and underlying causes of mental disorders. Describe the mechanisms to be adapted to respond to requests from multiple sources, by telephone, letter, fax, e-mail, and the web and the ability to gather information from numerous sources to respond to these inquiries.

2.. Information Technology Requirements – The offeror must demonstrate their ability in information technology requirements, in particular, in the development of a multi-faceted computer database, development and implementation of web and electronic services, and the ability to respond to the rapidly expanding need by the public for mental health information. Describe the approach to be taken and ability to successfully design and implement a complex database as described in the SOW. Knowledge of software, hardware, programming, logistics, and technical ability needed to support this database. Include a detailed description of the specific hardware, software, network, and other technology architecture components. Provide approach to design, develop, build, test, implement, maintain, back-up/recover and systems security.

B. Problems and Solutions - The offeror shall also submit a concise description of challenges and problems that might be encountered in meeting the overall objectives and in the performance of the tasks. A description of how these challenges and problems can be met or resolved shall also be provided.

C. Evaluation and Control Mechanisms – The offeror shall include mechanisms to assure the achievement of contract objectives in a timely, accurate, and cost-effective fashion. It should provide clear descriptions of how the contractor will carry out the various tasks and quality control measures planned. It should provide a chart showing phases, projects, and appropriate milestones.

III. Organizational Capability

Maximum Points – 25

A. Corporate Experience/Organizational Relationships - Demonstrated evidence of corporate experience relevant to the proposed procurement, such as mental health, health and medical information dissemination; planning and evaluation; systems maintenance, database development and maintenance must be provided in the proposal. The offeror shall list all Government and commercial contracts, grants, and other awards of a nature, complexity, and magnitude similar to the proposed procurement that were awarded to or performed by the offeror within the past 4 years. Such a list should include: (1) Contract/grant number, (2) monetary value and type of contract/grant, (3) description of services furnished, (4) name of Government agency and/or commercial company, (5) current address and telephone number of the cognizant Government contracting/grant officer and cognizant project officer if applicable. If commercial company, the name and phone number should be given of a representative of the company who may be contacted. In addition, organizational relationships, levels of authority and efficiency of management control, including relationships with subcontractors, if any, must be clearly delineated.

B. Facilities - Facilities and equipment sufficient to accomplish the project must be available. These items must include resources such as materials storage, duplicating equipment, a facsimile machine, access to the Internet, interactive telephone equipment with automated voice mail, text telephone/telecommunication device for the deaf (TTY), and a moderate size resource/meeting room. All hardware (IBM compatible computers) and software (including Microsoft Word, Access, Outreach; PowerPoint, Excel, FoxPro, C++, Crystal Reports, Cold Fusion, SQL and SQL Server, ASP) must support such contract activities as word processing, information database management, financial and project management, inventory management and web-based systems management. Proposed facility must be conveniently located near the NIMH offices in Rockville, MD.

IV. Personnel and Staffing

Maximum Points - 30

A. General

Proposals will be evaluated on the extent to which the offeror demonstrates the availability of experienced and qualified personnel or staff, and through subcontracting or consulting arrangements, with the appropriate expertise.

B. The offeror shall demonstrate that the offeror's organizational structure and capabilities will meet the requirements of the SOW from a managerial perspective. The narrative shall address the following factors:

- Reasons for labor skill mix determination
- Provide reasons for personnel selection
- Indicate the percentage of core personnel to the percentage of consultants/subcontractors proposed.
- Provide a detailed explanation of how the proposed staff plan ensures the work is conducted by individuals with a mastery of the technical requirements of the SOW
- Describe monitoring and control services provided as it relates to the technical quality, responsiveness, cost control, effective and efficient resource utilization, and compliance with the technical requirements and contract provisions. Clearly show proposed system for quality control of work performed including deliverables to be produced and proposed system for management control and contract provision compliance.
- Describe managerial problems the offeror expects to encounter and the methods proposed to solve these problems. Demonstrate ability and flexibility to rapidly solve the same or similar managerial problems encountered previously.
- Provide a person-level, staff task-loading chart (to include any consultants and subcontractors proposed) and an organizational chart indicating clear lines of authority, delineating staff responsibilities and a plan for organizational backup. Denote personnel not currently employed by the offeror with an asterisk (*).
- For each person named for the proposed effort, with the exception of general support personnel, the offeror shall provide a list of Federal, State, and other contracts to which they are currently obligated and the proportion of time committed to these contracts. Information for subcontractor or consultants shall also be included.
- Describe the relationship with all subcontractors and consultants including monitoring of their performance. Letters of commitment for detailed subcontracting arrangements, consulting arrangements, and for consultants and members shall be included with the proposal. For consultants, the letters of commitment shall specify the number of hours that each will be available throughout each year of the projected performance.

C. Proposals will also be evaluated on the effectiveness of the procedures proposed for managing tasks outlined in the SOW and meeting the critical projects and milestones, including: measures to ensure qualified personnel will be available for individual tasks outlined in the SOW; plans for organizing, managing, and coordinating the respective roles and responsibilities of the various personnel; quality control measures; procedures to assure timely start-up and completion of work; methods to manage relationships with consultants, subcontractors, and measures to ensure the efficient use of staff and other resources in conducting required tasks.

TOTAL POINTS-----100

III. PAST PERFORMANCE

An evaluation of offerors' past performance information will be conducted prior to any communications with offerors leading to establishment of the competitive range. However, this evaluation will not be conducted on any offeror whose proposal will not be admitted to the competitive range on the basis of the results of the evaluation of factors other than past performance.

The evaluation will be based on information obtained from references provided by the offerors, other relevant past performance information obtained from other sources known to the Government, and

any information supplied by the offeror concerning problems encountered on the identified contracts and corrective action taken.

The Government will assess the relative risks associated with each offeror. Performance risks are those associated with an offerors' likelihood of success in performing the acquisition requirement as indicated by that offeror's record of past performance.

The assessment of performance risk is not intended to be a product of a mechanical or mathematical analysis of an offeror's performance on a list of contracts but rather the product of subjective judgment by the Government after it considers relevant information.

When assessing performance risks, the Government will focus on the past performance of the offeror as it relates to all acquisition requirements, such as the offeror's record of performing according to specifications, including standards of good workmanship; the offeror's record of controlling and forecasting costs; the offeror's adherence to contract schedules, including the administrative aspects of performance; the offeror's reputation for reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the offeror's businesslike concern for the interest of the customer.

The Government will consider the currency and relevance of the information, source of the information, context of the data, and general trends in the offeror's performance.

The lack of a relevant performance record may result in an unknown performance risk assessment, which will neither be used to the advantage nor disadvantage of the offeror.

IV. EVALUATION OF OPTIONS

It is anticipated that any contract awarded from this solicitation will contain option provisions(s) and period(s). In accordance with FAR Clause 52.217-5, Evaluation of Options (July, 1990), the Government will evaluate offers for award purposes by adding the total price for all options to the total price for the basic requirement, except when it is determined in accordance with FAR 17.206(b) not to be in the Government's best interests. Evaluation of options will not obligate the Government to exercise any option.

Attachment 4

INSTRUCTIONS, CONDITIONS AND NOTICES TO OFFERORS

1. GENERAL INFORMATION

A. NAICS CODE AND SIZE STANDARD

Note: The following information is to be used by the offeror in preparing its Representations and Certifications (reference attachment 5), specifically in completing the provision entitled, SMALL BUSINESS PROGRAM REPRESENTATION, FAR Clause 52.219-1.

- (1) The North American Industry Classification System (NAICS) code for this acquisition is 561210.
- (2) The small business size standard is 6 million.

B. TYPE OF CONTRACT AND NUMBER OF AWARD(S)

It is anticipated that one award will be made from this solicitation and that the award will be made on/about September 1, 2002.

It is anticipated that the award from this solicitation will be a multiple-year, cost reimbursement plus award fee, performance based, contract with a base period of performance of three (3) years, and, two (2) option periods consisting of one (1) year each and that incremental funding will be used [see Attachment 4, Business Proposal Instructions].

C. RELEASE OF INFORMATION

Contract selection and award information will be disclosed to offerors in accordance with regulations applicable to negotiated acquisition. Prompt written notice will be given to unsuccessful offerors as they are eliminated from the competition, and to all offerors following award.

D. SERVICE OF PROTEST (AUGUST 1996) - FAR 52.233-2

- (a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

Contracting Officer
Contract Management Branch
NIMH, NIH
6001 EXECUTIVE BLVD, Room 6107
BETHESDA MD 20892-9603

- (b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

(End of Provision)

E. HHSAR 352.223-70 SAFETY AND HEALTH (JANUARY 2001)

- (a) To help ensure the protection of the life and health of all persons, and to help prevent damage to property, the Contractor shall comply with all Federal, State and local laws and regulations applicable to the work being performed under this contract. These laws are implemented and/or enforced by the Environmental Protection Agency, Occupational Safety and Health Administration and other agencies at the Federal, State and local levels (Federal, State and local regulatory/enforcement agencies).
- (b) Further, the Contractor shall take or cause to be taken additional safety measures as the Contracting Officer in conjunction with the project or other appropriate officer, determines to be reasonably necessary. If compliance with these additional safety measures results in an increase or decrease in the cost or time required for performance of any part of work under this contract, an equitable adjustment will be made in accordance with the applicable "Changes" Clause set forth in this contract.
- (c) The Contractor shall maintain an accurate record of, and promptly report to the Contracting Officer, all accidents or incidents resulting in the exposure of persons to toxic substances, hazardous materials or hazardous operations; the injury or death of any person; and/or damage to property incidental to work performed under the contract and all violations for which the Contractor has been cited by any Federal, State or local regulatory/enforcement agency. The report shall include a copy of the notice of violation and the findings of any inquiry or inspection, and an analysis addressing the impact these violations may have on the work remaining to be performed. The report shall also state the required action(s), if any, to be taken to correct any violation(s) noted by the Federal, State or local regulatory/enforcement agency and the time frame allowed by the agency to accomplish the necessary corrective action.
- (d) If the Contractor fails or refuses to comply promptly with the Federal, State or local regulatory/enforcement agency's directive(s) regarding any violation(s) and prescribed corrective action(s), the Contracting Officer may issue an order stopping all or part of the work until satisfactory corrective action (as approved by the Federal, State or local regulatory/enforcement agencies) has been taken and documented to the Contracting Officer. No part of the time lost due to any stop work order shall be subject to a claim for extension of time or costs or damages by the Contractor.
- (e) The Contractor shall insert the substance of this clause in each subcontract involving toxic substances, hazardous materials, or operations. Compliance with the provisions of this clause by subcontractors will be the responsibility of the Contractor. (End of clause)

2. GENERAL INSTRUCTIONS TO OFFERORS

A. INTRODUCTION

The following instructions will establish the acceptable minimum requirements for the format and contents of proposals. Special attention is directed to the requirements for technical and business proposals to be submitted in accordance with these instructions. In addition, the Offeror should mark each page of data it wishes to restrict from public disclosure with the following statement, "Use or disclosure of data contained on this page is subject to the restriction on the cover sheet of this proposal."

(1) Contract Type and General Clauses

It is contemplated that a cost-reimbursement plus award fee, performance based contract will be awarded. (See General Information) Any resultant contract shall include the clauses applicable to the selected offeror's organization and type of contract awarded as required by Public Law, Executive Order, or acquisition regulations in effect at the time of execution of the proposed contract.

(2) Authorized Official and Submission of Proposal

The proposal must be signed by an official authorized to bind your organization and must stipulate that it is predicated upon all the terms and conditions of this RFP. Your proposal shall be submitted in the number of copies, to the addresses, and marked as indicated in the cover letter to this Request for Proposal package. Proposals will be typewritten, paginated, reproduced on letter size paper and will be legible in all required copies. To expedite the proposal evaluation, all documents required for responding to the RFP should be placed in the following order:

I. COVER PAGE

Include RFP title, number, name of organization, identification of the proposal part, and indicate whether the proposal is an original or a copy.

II. TECHNICAL PROPOSAL

It is recommended that the technical proposal consist of a cover page, a table of contents, and the information requested in the Technical Proposal Instructions and as specified in Attachment 3 and 5.

III. BUSINESS PROPOSAL

It is recommended that the business proposal consist of a cover page, a table of contents, and the information requested in the Business Proposal Instructions and as specified in Attachment 5.

(3) **Proposal Summary and Data Record (NIH-2043)**

The Offeror must complete the Form NIH-2043, attached, with particular attention to the length of time the proposal is firm and the designation of those personnel authorized to conduct negotiations. (See Attachment 5, PROPOSAL SUMMARY AND DATA RECORD.)

(4) **Separation of Technical and Business Proposals**

The proposal must be prepared in two parts: a "Technical Proposal" and a "Business Proposal." Each of the parts shall be separate and complete in itself so that evaluation of one may be accomplished independently of, and concurrently with, evaluation of the other. The technical proposal must include direct cost and resources information, such as labor-hours and categories and applicable rates, materials, subcontracts, travel, etc., and associated costs so that the offeror's understanding of the project may be evaluated (See Attachment 5, TECHNICAL PROPOSAL COST INFORMATION/SUMMARY OF LABOR AND DIRECT COSTS). However, the technical proposal should **NOT** include pricing data relating to individual salary information, indirect cost rates or amounts, fee amounts (if any), and total costs. The technical proposal should disclose your technical approach in as much detail as possible, including, but not limited to, the requirements of the technical proposal instructions.

(5) **Alternate Proposals**

You may, at your discretion, submit alternate proposals, or proposals which deviate from the requirements; provided, that you also submit a proposal for performance of the work as specified in the statement of work. Such proposals may be considered if overall performance would be improved or not compromised and if they are in the best interests of the Government. Alternative proposals, or deviations from any requirements of this RFP, shall be clearly identified.

(6) **Evaluation of Proposals**

The Government will evaluate technical proposals in accordance with the criteria set forth in Attachment 3 this RFP.

(7) **Potential Award Without Discussions**

The Government reserves the right to award a contract without discussions if the Contracting Officer determines that the initial prices are fair and reasonable and that discussions are not necessary.

(8) **Use of the Metric System of Measurement**

It is the policy of the Department of Health and Human Services to support the Federal transition to the metric system and to use the metric system of measurement

in all procurement, grants, and other business related activities unless such use is impracticable or is likely to cause significant inefficiencies.

The offeror is encouraged to prepare their proposal using either "Hard Metric," "Soft Metric," or "Dual Systems" of measurement. The following definitions are provided for your information:

Hard Metric - The replacement of a standard inch-pound size with an accepted metric size for a particular purpose. An example of size substitution might be: selling or packaging liquids by the liter instead of by the pint or quart (as for soft drinks), or instead of by the gallon (as for gasoline).

Soft Metric - The result of a mathematical conversion of inch-pound measurements to metric equivalents for a particular purpose. The physical characteristics are not changed.

Dual Systems - The use of both inch-pound and metric systems. For example, an item is designed, produced, and described in inch-pound values with soft metric values also shown for information or comparison purposes.

(9) **Privacy Act - Treatment of Proposal Information**

The Privacy Act of 1974 (P.L. 93-579) [see information at the following website: <http://oma.od.nih.gov/ms/privacy/>], requires that a Federal agency advise each individual whom it asks to supply information, the authority which authorizes the solicitation, whether disclosure is voluntary or mandatory, the principal purpose or purposes for which the information is intended to be used, the uses outside the agency which may be made of the information, and the effects on the individual, if any, of not providing all or any part of the requested information.

The NIH is requesting the information called for in this RFP pursuant to the authority provided by Sec. 301(a)(7) of the Public Health Service Act, as amended, and P.L. 92-218, as amended.

Providing the information requested is entirely voluntary. The collection of this information is for the purpose of conducting an accurate, fair, and adequate review prior to a discussion as to whether to award a contract.

Failure to provide any or all of the requested information may result in a less than adequate review.

In addition, the Privacy Act of 1974 (P.L. 93-579, Section 7) requires that the following information be provided when individuals are requested to disclose their social security number.

Provision of the social security number is voluntary. Social security numbers are requested for the purpose of accurate and efficient identification, referral, review and

management of NIH contracting programs. Authority for requesting this information is provided by Section 301 and Title IV of the PHS Act, as amended.

The information provided by you may be routinely disclosed for the following purposes:

- to the cognizant audit agency and the General Accounting Office for auditing.
- to the Department of Justice as required for litigation.
- to respond to congressional inquiries.
- to qualified experts, not within the definition of Department employees, for opinions as a part of the review process.

(10) Selection of Offerors

- a) The acceptability of the technical portion of each contract proposal will be evaluated by a technical review committee. The committee will evaluate each proposal in strict conformity with the evaluation criteria of the RFP, utilizing point scores and written critiques. The committee may suggest that the Contracting Officer request clarifying information from an offeror.
- b) The business portion of each contract proposal will be subjected to a cost and price analysis, management analysis, etc.
- c) If award will be made without conducting discussions, offerors may be given the opportunity to clarify certain aspects of their proposal (e.g., the relevance of an offeror's past performance information and adverse past performance information to which the offeror has not previously had an opportunity to respond) or to resolve minor or clerical errors.
- d) If the Government intends to conduct discussions prior to awarding a contract-
 - (1) Communications will be held with offerors whose past performance information is the determining factor preventing them from being placed within the competitive range. Such communications shall address adverse past performance information to which an offeror has not had a prior opportunity to respond. Also, communications may be held with any other offerors whose exclusion from, or inclusion in, the competitive range is uncertain.

Such communications shall not be used to cure proposal deficiencies or omissions that alter the technical or cost elements of the proposal, and/or otherwise revise the proposal, but may be considered in rating proposals for the purpose of establishing the competitive range.

- (2) The Contracting Officer will, in concert with program staff, decide which proposals are in the competitive range. The competitive range will be comprised of all of the most highly rated proposals. Oral or written discussions will be conducted with all offerors in the competitive range.

While it is NIMH's policy to conduct discussions with all offerors in the competitive range, NIMH reserves the right, in special circumstances, to limit the number of proposals included in the competitive range to the greatest number that will permit an efficient competition. All aspects of the proposals are subject to discussions, including cost, technical approach, past performance, and contractual terms and conditions. At the conclusion of discussions, each offeror still in the competitive range shall be given an opportunity to submit a written Final Proposal Revision (FPR) with the reservation of the right to conduct finalization of details with the selected source in accordance with HHSAR 315.370.

- e) The process described in FAR 15.101-1 will be employed, which permits the Government to make tradeoffs among cost or price and non-cost factors and to consider award to other than the lowest price offeror or other than the highest technically rated offeror. This process will take into consideration the results of the technical evaluation, the past performance evaluation (if applicable) and the cost analysis.

(11) Solicitation Provisions Incorporated by Reference, FAR 52.252-1 (February 1998)

This Solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address: <http://www.arnet.gov/far/>.

FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1):

- (1) Submission of Offers in the English Language, FAR Clause 52.214-34, (April 1991).
- (2) Submission of Offers in U.S. Currency, FAR Clause 52.214-35, (April 1991).
- (3) Facilities Capital Cost of Money, FAR Clause 52.215-16, (October 1997).
- (4) Order of Precedence-Uniform Contract Format, FAR Clause 52.215-8, (October 1997).
- (5) Preaward On-Site Equal Opportunity Compliance Evaluation, (Over \$10,000,000), FAR Clause 52.222-24, (February 1999).
- (6) Instructions To Offerors--Competitive Acquisition [Far Clause 52.215-1 (May 2001)] Alternate I (October 1997).

3. TECHNICAL PROPOSAL INSTRUCTIONS

A detailed work plan must be submitted indicating how each aspect of the statement of work is to be accomplished. Your technical approach should be in as much detail as you consider necessary to fully explain your proposed technical approach or method. The technical proposal should reflect a clear understanding of the nature of the work being undertaken. The technical proposal must include information on how the project is to be organized, staffed, and managed. Information should be provided which will demonstrate your understanding and management of important events or tasks.

a) Technical Discussions

The technical discussion included in the technical proposal should follow the format and respond to the items set forth in attachment 3, subpart II.3.items I – III (Technical Approach, Organizational Capability, Personnel and Staffing).

Offerors should assure that the principal investigator/project director/project manager, and all other personnel proposed, shall not be committed on federal grants and contracts for more than a total of 100% of their time. if the situation arises where it is determined that a proposed employee is committed for more than 100% of his or her time, the government will require action on the part of the offeror to correct the time commitment. (Reference Attachment 5 - Form of other support)

b) Past Performance Information

Offerors shall submit the following information as part of their technical proposal.

- a) A list of the contracts completed during the past three years and all contracts currently in process that are similar in nature to the solicitation workscope. Contracts listed may include those entered into by the Federal Government, agencies of state and local governments and commercial concerns. Offerors that are newly formed entities without prior contracts should list contracts and subcontracts as required above for all key personnel.

Include the following information for each contract or subcontract:

- 1. Name of Contracting Organization
- 2. Contract Number (for subcontracts, provide the prime contract number and the subcontract number)
- 3. Contract Type
- 4. Total Contract Value
- 5. Description of Requirement
- 6. Contracting Officer's Name and Telephone Number
- 7. Program Manager's Name and Telephone Number
- 8. Standard Industrial Code

The offeror shall submit comparable information on all subcontractors that the offeror proposes to perform a major subcontract under this effort. The offeror may provide information on problems encountered on the identified contracts and the offeror's corrective actions.

- b) Each offeror will be evaluated on its performance under existing and prior contracts for similar products or services. The Government is not required to contact all references provided by the offeror. Also, references other than those identified by the offeror may be contacted by the Government to obtain additional information that will be used in the evaluation of the offeror's past performance.
- c) List grants supported by the Government that involved similar or related work to that called for in this RFP. Include the grant number, involved agency, names of the grant specialist and the Science Administrator, identification of the work, and when performed.

You are cautioned that omission or an inadequate or inaccurate response to this very important RFP requirement could have a negative effect on the overall selection process. Experience and past performance are factors which are relevant to the ability of the offerors to perform and are considered in the source selection process.

c) Subcontractors

If subcontractors are proposed, please include a commitment letter from the subcontractor detailing:

- a) Willingness to perform as a subcontractor for specific duties (list duties).
- b) What priority the work will be given and how it will relate to other work.
- c) The amount of time and facilities available to this project.
- d) Information on their cognizant field audit offices.
- e) How rights to publications and patents are to be handled.

d) Technical Evaluation

Proposals will be technically evaluated in accordance with the factors, weights, and order of relative importance as described in the Technical Evaluation Criteria (Attachment 3).

e) Additional Technical Proposal Information

- a) Proposals which merely offer to conduct a program in accordance with the requirements of the Government's scope of work will not be eligible for award. The offeror must submit an explanation of the proposed technical

approach in conjunction with the tasks to be performed in achieving the project objectives.

- b) The technical evaluation is conducted in accordance with the weighted technical evaluation criteria by an initial review panel. This evaluation produces a numerical score (points) which is based upon the information contained in the offeror's proposal only.

f) Other Considerations

Record and discuss specific factors not included elsewhere which support your proposal. Using specifically titled subparagraphs, items may include:

- a) Any agreements and/or arrangements with subcontractor(s). Provide as much detail as necessary to explain how the statement of work will be accomplished within this working relationship.
- b) Unique arrangements, equipment, etc., which none or very few organizations are likely to have which is advantageous for effective implementation of this project.
- c) Equipment and unusual operating procedures established to protect personnel from hazards associated with this project.
- d) Other factors you feel are important and support your proposed approach.
- e) Recommendations for changing reporting requirements if such changes would be more compatible with the offeror's proposed schedules.

g) Information Technology Systems Security

If this project involves Information Technology, the proposal must present a detailed outline of its proposed Information Technology systems security program which complies with the requirements of the Statement of Work, the Computer Security Act of 1987 Office of Management and Budget (OMB) Circular A-130, Appendix III, "Security of Federal Automated Information Systems," and the DHHS Automated Information Systems Security Program Handbook (Release 2.0, dated May, 1994). The proposal will also need to include similar information for any subcontract proposed.

NOTE: OMB A-130 is accessible via web site:

<http://www.whitehouse.gov/WH/EOP/OMB/html/circular.html>

h) GOVERNMENT NOTICE FOR HANDLING PROPOSALS

NOTE: This Notice is for the Technical Evaluation Review Group who will be reviewing the proposals submitted in response to this RFP. THE OFFEROR SHALL

PLACE A COPY OF THIS NOTICE BEHIND THE TITLE PAGE OF EACH COPY OF THE TECHNICAL PROPOSAL.

GOVERNMENT NOTICE OF HANDLING PROPOSALS

This proposal shall be used and disclosed for evaluation purposes only, and a copy of this Government notice shall be applied to any reproduction or abstract thereof. Any authorized restrictive notices which the submitter places on this proposal shall be strictly complied with. Disclosure of this proposal outside the Government for evaluation purposes shall be made only to the extent authorized by, and in accordance with, the procedures in HHSAR paragraph 352.215-1.

- (a) If authorized in agency implementing regulations, agencies may release proposals outside the Government for evaluation, consistent with the following:
 - (1) Decisions to release proposals outside the Government for evaluation purposes shall be made by the agency head or designee;
 - (2) Written agreement must be obtained from the evaluator that the information (data) contained in the proposal will be used only for evaluation purposes and will not be further disclosed;
 - (3) Any authorized restrictive legends placed on the proposal by the prospective Contractor or subcontractor or by the Government shall be applied to any reproduction or abstracted information made by the evaluator;
 - (4) Upon completing the evaluation, all copies of the proposal, as well as any abstracts thereof, shall be returned to the Government office which initially furnished them for evaluation; and
 - (5) All determinations to release the proposal outside the Government take into consideration requirements for avoiding organizational conflicts of interest and the competitive relationship, if any, between the prospective Contractor or subcontractor and the prospective outside evaluator.
- (b) The submitter of any proposal shall be provided notice adequate to afford an opportunity to take appropriate action before release of any information (data) contained therein pursuant to a request under the Freedom of Information Act (5 U.S.C. 552); and, time permitting, the submitter should be consulted to obtain assistance in determining the eligibility of the information (data) in question as an exemption under the Act. (See also Subpart 24.2, Freedom of Information Act.)

4. BUSINESS PROPOSAL INSTRUCTIONS

(1) Basic Cost/Price Information

The business proposal must contain sufficient information to allow the Government to perform a basic analysis of the proposed cost or price of the work. This information shall include the amounts of the basic elements of the proposed cost or price. These elements will include, as applicable, direct labor, fringe benefits, travel, materials, subcontracts, purchased parts, shipping, indirect costs and rate, fee, and profit.

(2) Proposal Cover Sheet

The following information shall be provided on the first page of your pricing proposal (Reference Form 2043 Attachment 5):

1. Solicitation, contract, and/or modification number;
2. Name and address of Offeror;
3. Name and telephone number of point of contact;
4. Name, address, and telephone number of Contract Administration Office, (if available);
5. Name, address, and telephone number of Audit Office (if available);
6. Proposed cost and/or price; profit or fee (as applicable); and total;
7. The following statement: By submitting this proposal, the offeror, if selected for discussions, grants the contracting officer or an authorized representative the right to examine, at any time before award, any of those books, records, documents, or other records directly pertinent to the information requested or submitted.
8. Date of submission; and
9. Name, title and signature of authorized representative.

This cover sheet information is for use by offerors to submit information to the Government when cost or pricing data are not required but information to help establish price reasonableness or cost realism is necessary. Such information is not considered cost or pricing data, and shall not be certified in accordance with FAR 15.406-2.

(3) Information Other than Cost or Pricing Data

- a) The information submitted shall consist of data to permit the Contracting Officer and authorized representatives to determine price reasonableness or cost realism, e.g., information to support an analysis of material costs (when sufficient information on labor and overhead rates is already available), or information on prices and quantities at which the offeror has previously sold the same or similar items.

Any information submitted must support the price proposed. Include sufficient detail or cross references to clearly establish the relationship of the information provided to the price proposed. Support any information provided by explanations or supporting rational as needed to permit the Contracting Officer and authorized representative to evaluate the documentation.

[Unless otherwise stated in this solicitation, the information may be submitted in the offeror's own format.]

(4) **Cost Elements**

Depending on your system, you must provide breakdowns for the following basic cost elements, as applicable:

A. **Materials and services.**

Provide a consolidated priced summary of individual material quantities included in the various tasks, orders, or contract line items being proposed and the basis for pricing (vendor quotes, invoice prices, etc.). Include raw materials, parts, components, assemblies, and services to be produced or performed by others. For all items proposed, identify the item and show the source, quantity, and price. Conduct price analyses of all subcontractor proposals. Conduct cost analyses for all subcontracts when cost or pricing data are submitted by the subcontractor. Include these analyses as part of your own cost or pricing data submissions for subcontracts expected to exceed the appropriate threshold in FAR 15.403-4. Submit the subcontractor cost or pricing data as part of your own cost or pricing data as required in paragraph 2.A(2) of this table. These requirements also apply to all subcontractors if required to submit cost or pricing data.

- (1) *Adequate Price Competition.* Provide data showing the degree of competition and the basis for establishing the source and reasonableness of price for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding, or expected to exceed, the appropriate threshold set forth at FAR 15.403-4 priced on the basis of adequate price competition. For interorganizational transfers priced at other than the cost of comparable competitive commercial work of the division, subsidiary, or affiliate of the contractor, explain the pricing method (see FAR 31.205-26(e)).
- (2) *All Other.* Obtain cost or pricing data from prospective sources for those acquisitions (such as subcontracts, purchase orders, material order, etc.) exceeding the threshold set forth in FAR 15.403-4 and not otherwise exempt, in accordance with FAR 15.403-1(b) (i.e., adequate price competition, commercial items, prices set by law or regulation or waiver). Also provide data showing the basis for establishing source and reasonableness of price. In addition, provide a summary of

your cost analysis and a copy of cost or pricing data submitted by the prospective source in support of each subcontract, or purchase order that is the lower of either \$10,000,000 or more, or both more than the pertinent cost or pricing data threshold and more than 10 percent of the prime contractor's proposed price. The Contracting Officer may require you to submit cost or pricing data in support of proposals in lower amounts. Subcontractor cost or pricing data must be accurate, complete and current as of the date of final price agreement, or an earlier date agreed upon by the parties, given on the prime contractor's Certificate of Current Cost or Pricing Data. The prime contractor is responsible for updating a prospective subcontractor's data. For standard commercial items fabricated by the offeror that are generally stocked in inventory, provide a separate cost breakdown, if priced based on cost. For interorganizational transfers priced at cost, provide a separate breakdown of cost elements. Analyze the cost or pricing data and submit the results of your analysis of the prospective source's proposal. When submission of a prospective source's cost or pricing data is required as described in this paragraph, it must be included along with your own cost or pricing data submission, as part of your own cost or pricing data. You must also submit any other cost or pricing data obtained from a subcontractor, either actually or by specific identification, along with the results of any analysis performed on that data.

B. Direct Labor.

Provide a time-phased (e.g., monthly, quarterly, etc.) breakdown of labor hours, rates, and cost by appropriate category, and furnish bases for estimates.

C. Costs
Indirect Costs.

Indicate how you have computed and applied your indirect costs, including cost breakdowns. Show trends and budgetary data to provide a basis for evaluating the reasonableness of proposed rates. Indicate the rates used and provide an appropriate explanation.

Other Costs. List all other costs not otherwise included in the categories described above (e.g., special tooling, travel, computer and consultant services, preservation, packaging and packing, spoilage and rework, and Federal excise tax on finished articles) and provide bases for pricing.

D. Royalties.

If royalties exceed \$1,500, you must provide the following information on a separate page for each separate royalty or license fee:

- (1) Name and address of licensor.

- (2) Date of license agreement.
- (3) Patent numbers.
- (4) Patent application serial numbers, or other basis on which the royalty is payable.
- (5) Brief description (including any part or model numbers of each contract item or component on which the royalty is payable).
- (6) Percentage or dollar rate of royalty per unit.
- (7) Unit price of contract item.
- (8) Number of units.
- (9) Total dollar amount of royalties.
- (10) If specifically requested by the Contracting Officer, a copy of the current license agreement and identification of applicable claims of specific patents (see FAR 27.204 and 31.205-37).

E. Facilities Capital Cost of Money.

When you elect to claim facilities capital cost of money as an allowable cost, you must submit Form CASB-CMF and show the calculation of the proposed amount (see FAR 31.205-10).

Facilities Capital Cost of Money, FAR 52.215-16, (October 1997)
(This is applicable if you are a commercial organization.)

- (a) Facilities capital cost of money [(see FAR 15.408(h)] will be an allowable cost under the contemplated contract, if the criteria for allowability in subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One of the allowability criteria requires the prospective Contractor to propose facilities capital cost of money in its offer.
- (b) If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.
(End of Provision)

If the offeror elects to claim this cost, the offeror shall specifically identify or propose it in the cost proposal for the contract by checking the appropriate box below.

- ☐ The prospective Contractor has specifically identified or proposed facilities capital cost of money in its cost proposal and elects to claim this cost as an allowable cost under the contract. Submit Form CASB-CMF (see FAR 31.205-10).
- ☐ The prospective Contractor has not specifically identified or proposed facilities capital cost of money in its proposal and elects not to claim it as an allowable cost under the contract.

F. Formats for Submission of Line Item Summaries

The detailed breakdown shall be in the format as shown on the form **Breakdown of Proposed Estimated Cost (plus fee) and Labor Hours** (Attachment 5). For each separate cost estimate, the offeror must furnish a breakdown by cost element as indicated above. In addition, summary total amounts shall be furnished. In the event the RFP cites specific line items, by number, a cost breakdown for each line item must be furnished.

To assist in the preparation of future cost estimates, the Projected Consumer Price Index may be accessed at:

<http://rcb.nci.nih.gov/forms/cpi.htm>

- G. There is a clear distinction between submitting cost or pricing data and merely making available books, records, and other documents without identification. The requirement for submission of cost or pricing data is met when all accurate cost or pricing data reasonably available to the offeror have been submitted, either actually or by specific identification, to the Contracting Officer or an authorized representative. As later information comes into your possession, it should be submitted promptly to the Contracting Officer in a manner that clearly shows how the information relates to the offeror's price proposal. The requirement for submission of cost or pricing data continues up to the time of agreement on price, or an earlier date agreed upon between the parties if applicable.
- H. By submitting your proposal, you grant the Contracting Officer or an authorized representative the right to examine records that formed the basis for the pricing proposal. That examination can take place at any time before award. It may include those books, records, documents, and other types of factual information (regardless of form or whether the information is specifically referenced or included in the proposal as the basis for pricing) that will permit an adequate evaluation of the proposed price.

****** (Please note that data substantiating the costs or prices proposed (i.e. payroll documentation, vendor quotes, invoice price, etc.) shall not be submitted with the initial proposal. This information will be requested from the offeror during the negotiation process. The initial proposal need only indicate from what source the proposed costs and prices are substantiated.) ******

I. Reimbursement of Costs for Independent Research and Development Projects (Commercial Organizations Only)

The primary purpose of the Public Health Service (PHS) is to support and advance independent research within the scientific community. This support is provided in the form of contracts and grants totaling approximately 7 billion dollars annually. PHS has established effective, time tested and well recognized and accepted procedures for stimulating and supporting this independent research by selecting from multitudes of proposals those research projects most worthy of support within the constraints of its appropriations. The reimbursement of independent research and development costs

not incidental to product improvement, through the indirect cost mechanism, would circumvent this competitive process.

To ensure that all research and development projects receive similar and equal consideration, all offerors may compete for direct funding for independent research and development projects they consider worthy of support by submitting those projects to the appropriate Public Health Service grant and/or contract office for review. Since these projects may be submitted for direct funding, the successful offeror agrees that no costs for any independent research and development project, including applicable indirect costs, will be claimed under any contract resulting from this solicitation.

J. Salary Rate Limitation in Fiscal Year 2002*

Offerors are advised that pursuant to P.L. 107-116, no NIH Fiscal Year 2002 (October 1, 2001 - September 30, 2002) funds may be used to pay the direct annual salary of an individual through any contract awarded as a result of this solicitation at a rate in excess of the Executive Schedule, Level I* (direct salary is exclusive of Overhead, Fringe Benefits and General and Administrative expenses, also referred to as "indirect cost" or "facilities and administrative (F&A) costs"). Direct salary has the same meaning as the term "institutional base salary." An individual's direct salary (or institutional base salary) is the annual compensation that the contractor pays for an individual's appointment whether that individual's time is spent on research, teaching, patient care or other activities. Direct salary (or institutional base salary) excludes any income that an individual may be permitted to earn outside of duties to the contractor.

This does not preclude the offeror from absorbing that portion of an employee's annual salary (plus the dollar amount for fringe benefits and associated indirect costs) that exceeds a rate of the Executive Schedule, Level I*. The salary rate limitation set by P.L. 107-116 applies only to Fiscal Year 2002 funds, however, salary rate ceilings for subsequent years may be included in future DHHS appropriation acts. Multi-year contracts awarded pursuant to this solicitation may be subject to unilateral modifications by the Government if an individual's annual salary exceeds any salary rate ceiling established in future appropriations acts. The Executive Schedule, Level I* annual salary rate limit also applies to individuals proposed under subcontracts, however it does not apply to consultants. P.L. 107-116 states in pertinent part:

"None of the funds appropriated in this Act for the National Institutes of Health, the Agency for Healthcare Research and Quality, and the Substance Abuse, and Mental Health Services Administration shall be used to pay the salary of an individual through a grant or extramural mechanism at a rate in excess of Executive Level I."

***Information regarding the FY-2002 rate can be found at:**

<http://www.opm.gov/oca/02tables/ex.pdf>

(5). Other Administrative Data

a) Property

- (1) It is DHHS policy that Contractors will provide all equipment and facilities necessary for performance of contracts. Exception may be granted to furnish Government-owned property, or to authorize purchase with contract funds, only when approved by the Contracting Officer. If the offeror is proposing that the Government provide any equipment, other than that specified under Government Furnished Property in the RFP, the proposal must include comprehensive justification which includes:
 - (a) An explanation that the item is for a special use essential to the direct performance of the contract and the item will be used exclusively for the purpose. Office equipment such as desks, office machines, etc., will not be provided under a contract except under very exceptional circumstances.
 - (b) No practical or economical alternative exists (e.g., rental, capital investment) that can be used to perform the work.
- (2) The offeror shall identify Government-owned property in its possession and/or Contractor titled property acquired from Federal funds, which it proposes to use in the performance of the prospective contract.
- (3) The management and control of any Government property shall be in accordance with DHHS Publication (OS) 686 entitled, "Contractor's Guide for Control of Government Property (1990)," a copy of which will be provided upon request.

b) Financial Capacity

The offeror shall indicate if it has the necessary financial capacity, working capital, and other resources to perform the contract without assistance from any outside source. If not, indicate the amount required and the anticipated source.

c) Incremental Funding

An incrementally funded cost-reimbursement contract is a contract in which the total work effort is to be performed over a multiple year period and funds are allotted, as they become available, to cover discernible phases or increments of performance. The incremental funding technique allows for contracts to be awarded for periods in excess of one year even though the total estimated amount of funds expected to be obligated for the contract are not available at the time of the contract award. If this requirement is specified

elsewhere in this RFP, the offeror shall submit a cost proposal for each year. In addition, the following provisions are applicable:

HHSAR 352.232-75, Incremental Funding (January 2001)

- (a) It is the Government's intention to negotiate and award a contract using the incremental funding concepts described in the clause entitled Limitation of Funds. Under the clause, which will be included in the resultant contract, initial funds will be obligated under the contract to cover the first year of performance. Additional funds are intended to be allotted to the contract by contract modification, up to and including the full estimated cost of the contract, to accomplish the entire project. While it is the Government's intention to progressively fund this contract over the entire period of performance up to and including the full estimated cost, the Government will not be obligated to reimburse the Contractor for costs incurred in excess of the periodic allotments, nor will the Contractor be obligated to perform in excess of the amount allotted.
- (b) The Limitation of Funds clause to be included in the resultant contract shall supersede the Limitation of Cost clause found in the General Provisions.

(End of provision)

(d). **Subcontractors**

If subcontractors are proposed, please include a complete cost proposal in the same format as the offeror's cost proposal.

Note: Organizations that plan to enter into a subcontract with an educational concern under a contract awarded under this RFP should refer to the following Web Site for a listing of clauses that are required to be incorporated in Research & Development (R&D) subcontracts with educational institutions:

<http://ocm.od.nih.gov/contracts/rfps/FDP/FDPclausecover.htm>

(e). **Travel Costs**

Costs for lodging, meals, and incidental expenses incurred by Contractor personnel shall be considered to be reasonable and allowable to the extent they do not exceed on a daily basis the per diem rates set forth in the Federal Travel Regulations, General Services Administration (GSA). Therefore, if travel costs are applicable and proposed by offerors, please be advised that they shall be calculated using the per diem rate schedule as established by GSA. Reimbursement of travel costs under any contract awarded from this RFP shall be in accordance with FAR 31.205-46.

1. **"JUST IN TIME"**

This RFP contains special procedures for the submission of business management proposals. These special procedures are designed to reduce the administrative burden on offerors without compromising the information during the initial evaluation of proposals. Certain documents will not longer be required to be submitted with initial proposals, but will be requested at a later stage in the competitive process. Specifically, the travel policy, the annual financial statement, the total compensation plan, the subcontracting plan, and certain types of cost/pricing information will only be required to be submitted from those offerors included in the competitive range, or the apparent successful offeror. The special procedures for submission of this documentation are set forth in detail below:

A. Travel Policy.

The offeror's (and any proposed subcontractor's) written travel policy shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a travel policy as a part of their final proposal revision. A written travel policy for any proposed subcontractors shall also be submitted at that time. If an offeror (or any proposed subcontractor) does not have a written travel policy, the offeror shall so state.

B. Annual Report.

The offeror's most recent annual report shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required to submit a copy of their most recent annual report as a part of their final proposal revision.

C. Representations and Certifications

One copy of the Representations and Certifications attached as Section K shall be completed and be signed by an official authorized to bind your organization. Additionally, a completed copy of the Representations and Certifications shall be submitted from any proposed subcontractor. All offerors included in the competitive range will be required to submit a copy of Section K with their final proposal revision.

D. Total Compensation Plan. The offeror's total compensation plan shall **not** be submitted with the initial business proposal. All offerors included in the competitive range will be required submit a total compensation plan as a part of their final proposal revision.

INSTRUCTIONS

- a) Total compensation (salary and fringe benefits) of professional employees under service contracts may, in some cases, be lowered by recompetition of these contracts. Lowering of compensation can be detrimental in obtaining the necessary quality of professional services needed for adequate performance of service contracts. It is, therefore, in the best interest of the Government that professional employees, as defined in 29 CFR Part 541, be properly compensated in these contracts. All offerors [included in the competitive range will be required to/as a part of their business proposal] will submit a "Total Compensation Plan" (salaries and fringe benefits) for these professional employees for evaluation purposes.
- b) The Government will evaluate the Total Compensation Plan to ensure that this compensation reflects a sound management approach and an understanding of

the requirements to be performed. It will include an assessment of the offeror's ability to provide uninterrupted work of high quality. The total compensation proposed will be evaluated in terms of enhancing recruitment and retention of personnel and its realism and consistency with a total plan for compensation (both salaries and fringe benefits).

- c) Evaluation for award, therefore, will include an assessment of the Total Compensation Plan submitted by each offeror.

EVALUATION

- a) Total Compensation Plan (Professional Employees)

In establishing compensation levels for professional employees, the total compensation (both salaries and fringe benefits) proposed shall reflect a clear understanding of the requirements of the work to be accomplished and the suitability of the proposed compensation structure to obtain and retain qualified personnel to meet mission objectives. The salary rates or ranges must recognize the distinct differences in professional skills and the complexity of varied disciplines as well as job difficulty. Proposals offering total compensation levels less than currently being paid by the predecessor Contractor for the same work will be evaluated, in addition to the above, on the basis of maintaining program continuity, uninterrupted work of high quality, and availability of required competent professional employees. Offerors are cautioned that instances of lowered compensation for essentially the same professional work may be considered a lack of sound management judgment in addition to indicating a lack of understanding of the requirement.

- b) Cost (Professional Compensation)

Proposals which are unrealistically low or do not reflect a reasonable relationship of compensation to the professional job categories so as to impair the Contractor's ability to recruit and retain competent professional employees, may be viewed as reflecting a failure to comprehend the complexity of the contract requirements. The Government is concerned with the quality and stability of the work force to be employed on this contract. The compensation data required will be used in evaluation of the offeror's understanding of the contract requirements.

- c) Other (Labor Relations)

An assessment of the potential for adverse effect upon performance and maintenance of the required number of professional employees with requisite skills resulting from an unrealistically low compensation structure will also be made.

FEDERAL ACQUISITION REGULATION CLAUSES INCORPORATED BY
REFERENCE

F. Cost/Pricing Information.

The offeror's business proposal shall include the basic cost/pricing information specified in Section L.2.c. of this RFP. In addition, the Government may require offerors included in the competitive range to submit additional information substantiating their proposed costs or prices. This additional cost/pricing information will be requested after establishment of the competitive range, and potentially includes payroll documentation, vendor quotes, invoice prices, and/or any other information deemed necessary by the contracting officer to evaluate the reasonableness of the price or to determine cost realism and financial responsibility. [The information may also include submission and certification of cost or pricing data.]

1. General Instructions

A. You must provide the following information on the first page of your pricing proposal:

- (1) Solicitation, contract, and/or modification number;
- (2) Name and address of offeror;
- (3) Name and telephone number of point of contact;
- (4) Name of contract administration office (if available);
- (5) Type of contract action (that is, new contract, change order, price revision/redetermination, letter contract, unpriced order, or other);
- (6) Proposed cost; profit or fee; and total;
- (7) Whether you will require the use of Government property in the performance of the contract, and, if so, what property;
- (8) Whether your organization is subject to cost accounting standards; whether your organization has submitted a CASB Disclosure Statement, and if it has been determined adequate; whether you have been notified that you are or may be in noncompliance with your Disclosure Statement or CAS, and, if yes, an explanation; whether any aspect of this proposal is inconsistent with your disclosed practices or applicable CAS, and, if so, an explanation; and whether the proposal is consistent with your established estimating and accounting principles and procedures and FAR Part 31, Cost Principles, and, if not, an explanation;
- (9) The following statement: This proposal reflects our estimates and/or actual costs as of this date and conforms with the instructions in FAR 15.403-5(b)(1) and Table 15-2. By submitting this proposal, we grant the Contracting Officer and authorized representative(s) the right to examine, at any time before award, those records, which include books, documents, accounting procedures and practices, and other data, regardless of type and form or whether such supporting information is specifically referenced or included in the proposal as the basis for pricing, that will permit an adequate evaluation of the proposed price;

- (10) Date of submission; and
- (11) Name, title and signature of authorized representative.

- B. In submitting your proposal, you must include an index, appropriately referenced, of all the cost or pricing data and information accompanying or identified in the proposal. In addition, you must annotate any future additions and/or revisions, up to the date of agreement on price, or an earlier date agreed upon by the parties, on a supplemental index.
- C. As part of the specific information required, you must submit, with your proposal, cost or pricing data (that is, data that are verifiable and factual and otherwise as defined at FAR 15.401). You must clearly identify on your cover sheet that cost or pricing data are included as part of the proposal. In addition, you must submit with your proposal any information reasonably required to explain your estimating process, including--
 - (1) The judgmental factors applied and the mathematical or other methods used in the estimate, including those used in projecting from known data; and
 - (2) The nature and amount of any contingencies included in the proposed price.
- D. You must show the relationship between contract line item prices and the total contract price. You must attach cost-element breakdowns for each proposed line item, using the appropriate format prescribed in the "Formats for Submission of Line Item Summaries" section of this table. You must furnish supporting breakdowns for each cost element, consistent with your cost accounting system.
- E. When more than one contract line item is proposed, you must also provide summary total amounts covering all line items for each element of cost.
- F. Whenever you have incurred costs for work performed before submission of a proposal, you must identify those costs in your cost/price proposal.
- G. If you have reached an agreement with Government representatives on use of forward pricing rates/factors, identify the agreement, include a copy, and describe its nature.
- H. As soon as practicable after final agreement on price or an earlier date agreed to by the parties, but before the award resulting from the proposal, you must, under the conditions stated in FAR 15.406-2, submit a Certificate of Current Cost or Pricing Data.

G. Requirements for Cost or Pricing Data or Information Other than Cost and Pricing Data [FAR Clause 52.215-20 (October 1997)]

(a) Exceptions from cost or pricing data.

(1) In lieu of submitting cost or pricing data, offerors may submit a written request for exception by submitting the information described in the following subparagraphs. The Contracting Officer may require additional supporting information, but only to the extent necessary to determine whether an exception should be granted, and whether the price is fair and reasonable.

(i) Identification of the law or regulation establishing the price offered. If the price is controlled under law by periodic rulings, reviews, or similar actions of a governmental body, attach a copy of the controlling document, unless it was previously submitted to the contracting office.

(ii) Commercial item exception. For a commercial item exception, the offeror shall submit, at a minimum, information on prices at which the same item or similar items have previously been sold in the commercial market that is adequate for evaluating the reasonableness of the price for this acquisition. Such information may include--

(A) For catalog items, a copy of or identification of the catalog and its date, or the appropriate pages for the offered items, or a statement that the catalog is on file in the buying office to which the proposal is being submitted. Provide a copy or describe current discount policies and price lists (published or unpublished), e.g., wholesale, original equipment manufacturer, or reseller. Also explain the basis of each offered price and its relationship to the established catalog price, including how the proposed price relates to the price of recent sales in quantities similar to the proposed quantities;

(B) For market-priced items, the source and date or period of the market quotation or other basis for market price, the base amount, and applicable discounts. In addition, describe the nature of the market;

(C) For items included on an active Federal Supply Service Multiple Award Schedule contract, proof that an exception has been granted for the schedule item.

(2) The offeror grants the Contracting Officer or an authorized representative the right to examine, at any time before award, books,

records, documents, or other directly pertinent records to verify any request for an exception under this provision, and the reasonableness of price. For items priced using catalog or market prices, or law or regulation, access does not extend to cost or profit information or other data relevant solely to the offeror's determination of the prices to be offered in the catalog or marketplace.

- (b) Requirements for cost or pricing data. If the offeror is not granted an exception from the requirement to submit cost or pricing data, the following applies:
 - (1) The offeror shall prepare and submit cost or pricing data and supporting attachments in accordance with Table 15-2 of FAR 15.408.
 - (2) As soon as practicable after agreement on price, but before contract award (except for unpriced actions such as letter contracts), the offeror shall submit a Certificate of Current Cost or Pricing Data, as prescribed by FAR 15.406-2.
(End of provision)

Alternate I (October 1997). As prescribed in 15.408(l), substitute the following paragraph (b)(1) for paragraph (b)(1) of the basic provision:

- (b)(1) The offeror shall submit cost or pricing data and supporting attachments in the following format:

The format specified in paragraph (TBA)Cost and Pricing Data, subparagraph 3. Formats for Submission of Line Item Summaries shall be used for the submission cost information. Submission of all other cost or pricing data shall be in accordance with Table 15-2 in FAR 15.408.

I. Submission of Electronic Funds Transfer Information with Offer, FAR Clause 52.232-38, (May 1999)

The offeror shall provide, with its offer, the following information that is required to make payment by electronic funds transfer (EFT) under any contract that results from this solicitation. This submission satisfies the requirement to provide EFT information under paragraphs (b)(1) and (j) of the clause at 52.232-34, Payment by Electronic Funds Transfer--Other than Central Contractor Registration.

- (1) The solicitation number (or other procurement identification number).
- (2) The offeror's name and remittance address, as stated in the offer.
- (3) The signature (manual or electronic, as appropriate), title, and telephone number of the offeror's official authorized to provide this information.
- (4) The name, address, and 9-digit Routing Transit Number of the offeror's financial agent.
- (5) The offeror's account number and the type of account (checking, savings, or lockbox).

- (6) If applicable, the Fedwire Transfer System telegraphic abbreviation of the offeror's financial agent.
- (7) If applicable, the offeror shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the offeror's financial agent is not directly on-line to the Fedwire and, therefore, not the receiver of the wire transfer payment.

ATTACHMENT 5

APPLICABLE RFP REFERENCES

A. Clauses and Provisions:

The following general clauses and provisions are applicable to this 100% Small Business Set Aside/Performance Based/Negotiated Cost Reimbursement Award Fee RFP (and vary depending on the organizational status of the successful offeror, i.e. Small Business, Small Educational Institution, Small Non-Profit). The clauses are located in the file "General Clauses" at URL: <http://amb.nci.nih.gov/clauses/clauses.html> .

B. Forms, Formats and Attachments:

The following items are applicable to this specific RFP and are located in the file entitled (except as noted) FORMS, FORMATS AND ATTACHMENTS at: <http://ocm.od.nih.gov/contracts/rfps/Forms1.htm> .

SUBMIT WITH TECHNICAL PROPOSAL (with original and every copy of technical proposal)

1. Technical Proposal Cover Sheet
2. Summary of Current and Proposed Activities
3. Government Notice for Handling Proposals (as applicable)

SUBMIT WITH BUSINESS PROPOSAL:

1. Proposal Summary and Data record, NIH-2043, with every copy of business proposal.
2. Business Proposal Cost Information (Use form entitled "Breakdown of Proposed Estimated Cost (plus fee) and Labor Hours" which is located at <http://ocm.od.nih.gov/contracts/rfps/Forms1.htm> .
3. Disclosure of Lobbying Activities, OMB SF-LLL, only one completed and signed original

OTHER - TO BE SUBMITTED LATER, "JUST IN TIME":

1. Certificate of Current Cost or Pricing Data, NIH-1397, to be submitted with FPR, as required by the CO
2. Representations and Certifications - one completed and signed copy

ANTICIPATED TO BE INCLUDED AS CONTRACT ATTACHMENTS:

1. Invoice/Financing Requests Instructions for NIH Cost-Reimbursement Type Contracts, NIH(RC)-1
2. NIH 2706, Financial Report of Individual Project/Contract, the form with instructions
3. Procurement of Certain Equipment, NIH(RC)-7
4. NIMH Publication By-Lines
5. Privacy Act System of Records

C. The Sample Contract Format:

The Sample Contract Format for Cost Reimbursement contracts is located in the file entitled, RFP FORMS, FORMATS AND ATTACHMENTS at <http://ocm.od.nih.gov/contracts/rfps/Forms1.htm>

D. Supplemental information pertaining to Sections B, G and H of the Sample Contract Format:

1. Under Section B:

ARTICLE B.2. ESTIMATED COST, FIXED FEE AND AWARD FEE

- a. The total estimated cost (exclusive of any fees) of this contract, including direct and indirect costs, is \$_____.
- b. The fixed-fee for this contract is \$_____. The fixed-fee shall be subject to the withholding provisions of the clauses ALLOWABLE COST AND PAYMENT and FIXED-FEE referenced in the General Clause Listing in Part II, ARTICLE I.1. of this contract. Payment of fixed-fee shall be made in equal monthly installments.
- c. The maximum amount of Award Fee that may be earned on the contract is \$_____. Award fee earned shall be based upon an evaluation and determination by the Government as to the Contractor's level of performance in accordance with the following procedures:
 - (1) The Contractor's performance shall be evaluated on a semi-annual basis, (every six months) during the period of the contract. The award fee evaluation periods and maximum amounts for each are listed in Section H, Special Contract Requirements, Award Fee.
 - (2) The criteria set forth in the Quality Assurance Surveillance Plan, included in Section H, Special Contract Requirements, Award Fee, shall be used to evaluate the Contractor's performance.
 - (3) The Contractor further agrees that the final determination as to the amount of Award Fee earned will be made by the Contracting Officer, taking into consideration an analysis and evaluation of the Contractor's performance made by the Award Fee Evaluation Group described in ARTICLE H. (of the resulting contract) and shall not be subject to the terms of the "Disputes" clause of this contract. The Contractor shall be advised in writing of the decision setting forth reasons why the Award Fee was earned, or why it was not earned, in order that the Contractor may improve its performance during the next six (6) months, if the latter is applicable.
 - (4) Notwithstanding any other provisions of this contract, the fee for performing this contract shall not exceed the statutory limitations prescribed in the first sentence of Section 304(b) of the Federal Property and Administrative Services Act (41 U.S.C. 254(b)) for services other than research, development or experimental work.

(5) Authorization to claim and be reimbursed for Award Fee under this contract will be accomplished by an Administrative Modification, executed by the Contracting Officer, when the Award Fee, if any, has been determined to be due. The Administrative Modification shall set forth the amount of award fee to be paid and shall indicate the performance period evaluated. Upon receipt of the contract/modification, the Contractor may submit a public voucher for payment of the total Award fee earned for the period evaluated. Payment of the Award fee shall be subject to the withholding provision of the clause entitled "Fixed Fee."

- d. The Government's maximum obligation, represented by the sum of the estimated cost, fixed-fee, and award fee \$_____.
- e. Total funds currently available for payment and allotted to this contract are \$____, of which \$____ represents the estimated costs, \$____ the fixed-fee and \$____ the possible award fee. For further provisions on funding, see the LIMITATION OF FUNDS clause incorporated herein.
- f. The amounts negotiated (and anticipated incremental funding schedule) for this contract are as follows:

Period of Performance	Estimated Cost	Fixed Fee	Award Fee Possible	Total Est. Cost Plus Fees

- g. It is estimated that the amount currently allotted will cover performance of the contract through _____.
- h. The Contracting Officer may allot additional funds to the contract without the concurrence of the contractor.

ARTICLE B.4. ADVANCE UNDERSTANDINGS

The work plan submitted by the successful offeror, in its final form due ____ shall be incorporated into the resulting contract by modification to the contract after award.

2. Under Section G:

Section G, "Contract Administration Data" paragraph entitled "Invoice Submission" is amended to read as follows:

Invoice Submissions/Contract Financing Request

Invoice/Financing Request Instructions for NIH Cost-Reimbursement Type Contracts, NIH(RC)-1, are attached and made part of this contract. The instructions and the following

directions for the submission of invoices/financing request must be followed to meet the requirements of a “proper” payment request pursuant to FAR 32.9. Invoice/financing requests shall be submitted as follows:

- a. An original and two copies to the following designated billing office:

If hand-delivered or delivery Service

Contracting Officer
Contracts Management Branch, ORM
National Institute of Mental Health
6001 Executive Boulevard
Room 6107, MSC 9603
Rockville, Maryland 20852

If using U.S. Postal Service

Contracting Officer
Contracts Management Branch, ORM
National Institute of Mental Health
6001 Executive Boulevard
Room 6107, MSC 9603
Bethesda, Maryland 20892-9603

Inquiries regarding payment of invoices should be directed to the designated billing office (301) 443-2696.

- b. At a minimum, the Contractor agrees to include the following information on each invoice:

1. Contractor’s name and invoice date,
2. NIMH's Contract number, or other authorization for delivery of property and/or services
3. Description, cost or price, and quantity of property and/or services actually delivered or rendered,
4. Shipping and payment terms,
5. Other substantiating documentation or information as required by the contract (see paragraph G.3.c, “NIMH Supplemental Billing Instructions” below,
6. Name where practicable, title, phone number, and complete mailing address of responsible official to whom payment is to be sent.

- c. NIMH Supplemental Billing Instructions

1. The contractor agrees to provide, as applicable, a detailed breakdown on each invoice of the following cost categories:

- (a) Direct Labor - List individuals by name, title/position, hourly/annual rate, level of effort, and amount claimed.
- (b) Fringe Benefits - Cite rate and amount
- (c) Overhead - Cite rate and amount
- (d) Materials & Supplies - Include detailed breakdown.
- (e) Travel - Identify travelers, dates, destination, purpose of trip, and amount. Cite COA, if appropriate.
- (f) Consultant Fees - Identify individuals and amounts.
- (g) Subcontracts - Attach subcontractor invoice(s). (Should be in same format and detail as required of the Prime Contractor.) Include COA Letter Number if applicable.

- (h) Equipment - Cite authorization and amount.
- (i) G&A - Cite rate and amount.
- (j) Total Cost
- (k) Fee (if applicable)
- (l) Total Cost & Fee

Monthly invoices must include the cumulative total expended to date, adjusted (as applicable) to show any amounts suspended or disallowed by the Government.

2) The contractor agrees to immediately notify the contracting officer in writing if there is an anticipated overrun (any amount) or unexpended balance (greater than 10 percent) of the amount allotted to the contract, and the reasons for the variance. Also refer to the requirements of the Limitation of Funds and Limitation of Cost Clauses in the contract.

Section G, “Contract Administration Data” the paragraph entitled “Post Award Evaluation of Contractor Performance” is amended to add:

Electronic Access to Contractor Performance Evaluations

Contractors that have Internet capability may access evaluations through a secure Web Site for review and comment by completing the registration form that can be obtained at the following address:

http://ocm.od.nih.gov/cdmp/cps_contractor.htm

The registration process requires the contractor to identify an individual that will serve as a primary contact and who will be authorized access to the evaluation for review and comment. In addition, the contractor will be required to identify an alternate contact who will be responsible for notifying the cognizant contracting official in the event the primary contact is unavailable to process the evaluation within the required 30-day time frame.

3. Under Section H:

ARTICLE H. AWARD FEE

A. Evaluation Guidelines And Procedures For A Performance Based Cost-Plus Award-Fee (PBCPAF) Contract

Purpose

The purpose of this document is to establish a proposed procedure for evaluating the Contractor's performance. The evaluation will be conducted on a semi-annual basis (twice a year), and the Contractor's Award Fee will be based on the quality of services provided, inclusive of deliverables, using a numerical scale. If the rating for services falls below 95, the Contractor will not receive an award for the rating period.

- 1) The key factors in the technical evaluation will be quality of the service, responsiveness of the Contractor to requirements, compliance with deliverable schedules, cost containment and customer service response, as reflected in the Work Statement.
 - 2) Criticism should be constructive in all points, and should be directed toward improvement of operations in conformance with Government objectives and requirements.
- B. The Government's decision to pay or not to pay Award Fee in no way alters the contractor's responsibilities to perform any functions or produce any deliverables required by this contract. The Government's decision to pay or not to pay Award Fee in no way alters the Government's obligation to pay the contractor for satisfactory deliverables in accordance with this contract. Annual amounts available for Award Fee are identified in Section B.
- C. Responsibilities of the Award Fee Evaluation Group
1. The award of fee will be made semi-annually, and will be based upon objective evaluation of the Contractor's performance by an Award Fee Evaluation Group to be established after award of the contract. The group will evaluate the Contractor's performance by assessing the Contractor's completion of requirements. The group's evaluation will be made by rating the Contractor's technical performance using all sources available. It is anticipated that the Award Fee Evaluation Group will consist of the Project Officer, program staff, and contract staff.
 2. The award fee group will give the project a numerical rating. The Award Fee Evaluation Group will report to the Contracting Officer the amount of award fee recommended for payment to the Contractor for the preceding six month contract period.
 3. The Contractor may express disagreement with the Award fee determinations through a letter to the Contracting Officer. The Contractor's comments will be taken into consideration in the subsequent evaluation; however, the previous fee evaluation determination will not be changed or amended and the decision of the Contracting Officer will be final.
 4. The payment of award fee will be made after a written administrative change order is prepared and signed by the Contracting Officer, and an invoice is received from the Contractor for such earned fee.

D. Anticipated Results of the PBCPAF Contract

1. The overall guiding purpose of the PBCPAF mode of contracting is to provide a strong incentive for the Contractor to achieve superior performance. It allows the Contractor flexibly in performing the work and promotes maximum cooperation between the Contractor and the Government.
2. It is anticipated that the criteria utilized in the evaluation of technical achievement for determination of award fee will encourage the Contractor's enthusiastic cooperation and participation in improving logistical and administrative support services.
3. It is also anticipated that the operations of the Award Fee Evaluation Group will establish and maintain a working relationship between the Government and the Contractor that will be produce a good business environment and will stimulate free exchange of relevant information. The Award Fee Evaluation Group operation will provide for the clear establishment of priorities and relative importance of various work elements of the program. This will assist the Contractor in its efforts to meet the requirements of the contract and will provide the necessary guidance to ensure the maximum return to the Government for its investment.

The group will include with its numerical evaluation, a corresponding narrative which supports the score. In developing remarks, the primary frame of reference will be typical performance trends throughout all or a significant portion of the project evaluation period. However, specific examples of performance may be used for clarification and emphasis. Remarks will explain reasons for an increase or decreases of the technical achievement ratings as well as a justification for the ratings provided.

CPAF CONTRACT RATING TABLE

The Award Fee Evaluation Group will evaluate the quality of the services provided using a numerical rating scale from 0 to 100. The following reflects the rating factors and related definitions:

Definition of Rating	Specific Adjective Rating	Numerical Rating Column
<u>Superior</u> - The Contractor's performance exceeds standard by substantial margin, and the monitor can cite few areas for improvement, all of which are minor.	Superior – award amount based on points earned	98.0 - 100
<u>Excellent</u> - The Contractor's performance exceeds standard, and although there may be several areas for improvement, these are more than offset by better performance in other areas.	Excellent – award amount based on points earned	95.0 - 97.9
<u>Satisfactory</u> - The Contractor's performance is standard and areas for improvement are approximately offset by better performance in other areas.	Satisfactory – award amount based on points earned	80.0 - 94.9
<u>Poor</u> - The Contractor's performance is less than standard, and although there are areas of good or better performance, these are more than offset by lower rated performance in other areas.	Poor – earns no award fee	50.0 - 79.9
<u>Unacceptable</u> - The Contractor's performance is less than standard by a substantial margin, and the monitor can cite many areas for improvement which are not offset by better performance in other areas. Less satisfactory performance would be unacceptable.	Unacceptable – reduces base fee by \$1,000 per six month period	00.0 - 49.9

H. OPTIONS

1) Option to extend the term of the contract

Unless the Government exercises its option pursuant to the Option Clause set forth below, the contract will consist only of years 1 through 3. Pursuant to clause 52.217-9 set forth below, the Government may, by unilateral contract modification, require the Contractor to perform two (2) additional Years of the Statement of Work. If the Government exercises this option, notice must be given at least 30 days prior to the expiration date of this contract, and the estimated cost of the contract will be increased as set forth in Article B.

Option to Extend the Term of the Contract (Mar 2000)

The Government may extend the term of this contract by written notice to the Contractor within 10 days; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least 30 days. The preliminary notice does not commit the Government to an extension. If the Government exercises this option, the extended contract shall be considered to include this option clause. The total duration of this contract, including the exercise of any options under this clause shall not exceed 5 years.

2) Option for Additional Services –

Option Items One (1) through Four (4) (See SOW, attachment 2)

The Government may add the options for additional services specified in the Statement of Work within 10 days; provided that the Government gives the Contractor a preliminary written notice of its intent at least 30 days in advance. The preliminary notice does not commit the Government to the exercise of option items.

Attachment 6

PROPOSAL INTENT RESPONSE SHEET - NIMH-02-SS-0003

PLEASE REVIEW THE ATTACHED RFP. FURNISH THE INFORMATION REQUESTED BELOW AND RETURN THIS PAGE ON OR BEFORE **May 10, 2002**. YOUR EXPRESSION OF INTENT IS NOT BINDING BUT WILL GREATLY ASSIST US IN PLANNING FOR PROPOSAL EVALUATION. CHECK ONLY ONE BOX.

☐ DO INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING:

☐ DO NOT INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

TYPED NAME AND TITLE: _____

INSTITUTION: _____

SIGNATURE: _____

TELEPHONE NO.: _____

EMAIL ADDRESS: _____

FAX NO. _____

DATE: _____

COLLABORATORS/CONSULTANTS - Provide name(s) and institution(s): (Continue list on additional pages if necessary)

RETURN TO: National Institute of Mental Health, NIH
Contracts Management Branch
Attn: Suzanne Stinson
Neuroscience Center Bldg., Rm. 6107
6001 Executive Blvd. (MSC 9603)
Bethesda, MD 20892-9603
FAX (301) 443-0501
ss704b@nih.gov